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## ABSTRACT

Two reports on institutional change and its effect on the education of limited-English-proficient (LEP) students are presented. The Task 12 report addresses the content and processes of change through which federal efforts can best benefit LEP students. It gives an overview of the review, discusses that nature of educational and institutional change, and looks at the use of strategic planning for change within school districts, concluding with a model for describing school change efforts. The Task 13 report presents the findings of a focus group concerning the purposes and approach of such a study, models for studying both content and process of school change, and methodology. Specific recommendations are made in each area. Substantial appended materials include a list of focus group participants, schedules and agendas for focus group meetings, and the written recommendations of each participant.  
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Annual Report: Year Three

Volume IV: Task Order 12 Report,

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**Annual Report: Year Three**

**Volume IV: Task Order 12 Report,  
Task Order 13 Report**

(Task Six)

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# SIAC

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### YEAR THREE ANNUAL REPORT

The Special Issues Analysis Center (SIAC), as a technical support center, provides assistance to the Office of Bilingual Education and Minority Languages Affairs (OBEMLA), U.S. Department of Education (ED). The purpose of the SIAC is to support OBEMLA in carrying out its mission to serve the needs of limited English proficient students. In this role, the SIAC carries out data analysis, research, and other assistance to inform OBEMLA decision-making. These activities are authorized under the Bilingual Education Act of 1988, Public Law 100-297.

The responsibilities of the SIAC are comprised of a variety of tasks. These tasks include data entry and database development, data analysis and reporting, database management design, design of project accountability systems, and policy-related research and special issues papers. This report describes activities carried out by the SIAC in Year Three. A full list of SIAC products for all three years of operation is presented in the Appendix.

This Annual Report consists of seven volumes, which include the overview report on the SIAC activities in Year Three plus six additional volumes. These volumes present copies of selected reports submitted to OBEMLA by the SIAC in the past year, including copies of all task order reports submitted. The contents of each volume are outlined below:

- Volume I: Overview of SIAC activities in Year Three;
- Volume II: Copies of Short Turnaround Reports (STRs) based on analyses of Title VII application data and other data related to LEP students;
- Volume III: The SEA Report/Task Seven;
- Volume IV: Task Order 12 and Task Order 13 Reports;
- Volume V: Task Order 10 and Task Order 16 Reports;
- Volume VI: Task Order 17 and Task Order 19 Reports; and,
- Volume VII: Task Order 16 and Task Order 21 Reports.

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**Literature Review and Synthesis Report  
on Institutional Change and  
Its Implications for Schools Serving  
Limited English Proficient Students**

(Task Order D120)

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**Development Associates, Inc.**

Research, Evaluation, and Survey Services Division

This report was prepared for the U.S. Department of Education, Office of Bilingual Education and Minority Languages Affairs, under Contract No. T292001001, Task Order No. 12. The opinions, conclusions, and recommendations expressed herein do not necessarily reflect the position or policy of the Department of Education and no official endorsement by the Department of Education should be inferred.

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**PART I**  
**INTRODUCTION**

## CHAPTER 1

### PURPOSE OF THE REVIEW

#### A. Defining Institutional Change for Limited English Proficient Students

The Improving America's Schools Act, the 1994 reauthorization of the Elementary and Secondary Education Act including Title VII programs, defines important new emphases in federal support for effective instructional services for children and youth. The new legislation supports the goal of high-quality education for all students by building the capacity of schools to help students meet challenging content and performance standards. A central component in this effort is a systemic approach to the improvement and reform of educational programs that serve limited English proficient students. In fact, two new program categories, Comprehensive School Grants and Systemwide Improvement Grants, specifically address the need for comprehensive and integrated approaches to the education of those students. The new program categories reflect a broader view of effective instruction, in which the whole school working together with the local community is recognized as the key source of input for both students and for educators. This whole school perspective and systemic approach is consistent with recent research and with the eight National Education Goals. It is also consistent with the emphasis on change processes and systemic change characteristic of the more recent education reform efforts.

This literature review marks an initial step toward the design of research on the implementation of effective change efforts related to limited English proficient students. The research, which will be carried out through the Department of Education, Office of Bilingual Education and Minority Languages Affairs, will track change efforts related to services for limited English proficient students over the next several years. The purpose of this research is to learn how best to promote the design and implementation of effective school contexts and services for those students. Essentially, the goal is to identify how change efforts can be designed and implemented to incorporate language minority and limited English proficient students as equal participants with other students within educational reform.

The information to be obtained through the study will answer questions such as: How can the federal government—through Title VII programs, for example—be most effective in promoting educational change that will benefit limited English proficient students? What should be the content of federal efforts? What should be the process for promoting change efforts?

The Special Issues Analysis Center was requested to carry out this literature review on institutional change to facilitate and contribute to the development of a framework for possible research designs. Broadly, the questions addressed by the literature review are the following:

- What specific components should be included within a framework that outlines the content of change within institutions that serve limited English proficient students?

- What guiding theories or principles on the institutional change process are identified in the literature?
- What context or implementation factors can be identified and examined as key elements relevant to the change process within institutions serving limited English proficient students?
- What interactions among variables defining the content and process of change are indicated by the literature? What does the literature indicate are the implications of these interactions for institutions involved in implementation of change?
- What recommendations for methodologies applicable to measuring change can be identified in the research literature?

#### **B. Research on Educational Change and Limited English Proficient Students**

The study of change, although now taking a more comprehensive and systemic direction, is still relatively new. Progress is evident, however, in that educators have come to understand more about the nature of change. They have learned, over the past two decades, that implementation is key and that how a change is put into practice is central to how well the change will succeed (Fullan, 1991). The setting in which the change is implemented also affects how the change will be received and implemented, since local conditions and contexts play a role in determining the final shape of the change (Berman et al., 1975).

To a large extent, however, issues related to language minority students in particular have not been specifically included within research on school-wide reform and change (Gandara, 1994; Valadez, 1989). For example, Gandara's review of articles (1994) found that in the previous ten years, only about 4 percent of articles on school reform published in the *Phi Delta Kappan* mentioned students from non-English backgrounds. In conducting our review of the literature, we searched for references in the ERIC database and found 4,148 articles (1990 to present) that were described as concerning educational change in grades K-12; of those references, only 138 also included bilingual or English as a Second Language (ESL) or language minority as a descriptor. It is clear from these examples that the majority of studies do not incorporate a specific concern with language minority students or schools serving such students. These statistics reflect perhaps an underlying assumption that the findings are relevant to all participants in reform. While it is true that findings from any study of school change are likely to apply to schools that serve limited English proficient students, there are also likely to be issues that are specific to those schools. For example, there is a considerable body of research on the development of school professional communities, in which teachers collaborate and share information and concerns regarding students and instruction. Generally absent, however, are discussions of the issues involved when teachers from different programs or perspectives begin to work together, as would occur when mainstream teachers collaborate with bilingual classroom or ESL teachers.

We need to explore these and other relevant issues to further inform school change efforts within schools that serve limited English proficient students. Recent data on students show that the number of students from language minority backgrounds is increasing and that the number of schools enrolling at least one limited English proficient student is also growing (e.g., Fleischman and Hopstock, 1993). States participating in the SEA Title VII grant program report a total of approximately 2.7 million students identified as limited English proficient for the 1992-93 academic year (Henderson, Donly, and Strang, 1994) and the California State Department of Education (1992) reported that the number of limited English proficient students in 1991 was almost double the 1985 figure. Since these trends in growth are expected to continue, issues related to the instruction of limited English proficient students are expected to become increasingly important to schools. There is a need, therefore, to examine school reform and change efforts with a focus on such issues.

### **C. An Approach to the Description of Institutional Change Efforts**

We have stated that the objective of this literature review is to provide input to the design of a study of institutional change efforts that affect limited English proficient students by identifying key findings and describing key components of change efforts. To describe and track change, we first need to be able to describe what it is that is changing.

At its most basic level, change has always been the objective of education in that education is directed toward change within students—toward adding to and revising a student's understanding and knowledge. At that level, there has been an implicit understanding that change involves a particular area of content or skills, that it involves a process, and that it will take time. Much of the educational research that has been conducted has focused on identifying classroom instructional approaches and practices that will be effective in promoting change. Within the area of instruction for language minority students, much has been learned about the process of learning and how to best promote learning. For language minority students, the use of the native language for instruction or to support instruction, the use of English within meaningful contexts as in content-based ESL approaches (e.g., Short, 1993), the incorporation of students' culture and background within instruction (e.g., Moll, 1990), and the provision of challenging content to students rather than rote-learning based curriculum (e.g., Warren and Rosebery, 1990) are examples of findings that have helped to define effective instruction for limited English proficient students.

Recent research has begun to focus on the nature of instruction as one part of a complex of factors that define effective instructional environments for students. In particular, this focus has been on factors within the school which ultimately affect the teacher-student relationship and instructional outcomes and on change at several interacting levels within the educational system. Researchers have described educational change as a multi-level, multi-dimensional process (Fullan, 1991; Rowan, 1991; Raudenbush & Bryk, 1988-89) through which the nature of the school community, linkages among school staff, linkages with the home and community, student background, culture, and experience all play a role in determining student achievement, the ultimate goal of change efforts.

From this perspective, the description of change efforts is a particularly complex task. Any research on change thus must require careful definition of the nature of the change efforts to be studied and of the types of variables to be included within the scope of the study. The findings of this literature review are expected to help guide this definition process and to identify key variables for a study of school change affecting limited English proficient students.

Our starting premise, based on a basic understanding that has been gained through the research on change, is that the description of any change effort involves description of both the content of the change and the process of change. The fact that change is both content and process has not always been recognized, with the result that there have been essentially two perspectives on change at different times. The first perspective regards change as content, describes changes in terms of the characteristics or attributes of innovations, settings, and participants, and looks for relationships among these attributes to explain the success or failure of a change effort. The second perspective regards change as process, looks at change as a flow or series of processes that are described in terms of actions or behaviors that often involve interactions among individuals or groups in different roles.

What gets confusing is that within the two perspectives similar words are often used to describe different things or different terms are used to describe the same things. The primary source of confusion, however, is that both perspectives are often observed but without making the distinction between the content of the change and the process of the change.

For a study of change, however, it is critical to have a clear approach to examining and exploring relationships among components of both the content and process of change. Without doing so we will lose the richness of each perspective and we will be less likely to produce findings that can be used to guide further practice and inform policy. Therefore, in our review of the literature, we have chosen to discuss separately the content of change efforts and the process of change efforts.

#### **D. Plan of the Literature Review**

In our review of the literature, we are attempting to clarify the key components and findings related to the content and process and to examine ways in which these interact. The specific research questions identified for this review are as follows:

- (1) What is the content or nature of the change being implemented? How should this content be defined?
- (2) How is the change being implemented? That is, what is the process of change and how can this process be measured?

Finally, all change efforts are expected to result in benefits in terms of student outcomes. The specific types of changes implemented within certain contexts and involving identified

participants and their interactions will need to be understood in order to define how student outcomes result from identified change efforts. The discussion of the content of change and the process of change should thus inform further research and practice on school change and, in particular, research on school change affecting limited English proficient students.

Part I of the review (Chapters 2 and 3) provides background for the focused review on school change. Chapter 2 presents an overview of conceptual models of change and perspectives on change. Chapter 3 presents a synopsis of practices and findings within districts that are undergoing significant district-wide change efforts.

Parts II and III of the review together present a discussion of the nature of change efforts. Part II (Chapters 4, 5, and 6) presents a framework for describing the content of change in terms of the goals of the change and the areas of focus of the change within the school. Part III (Chapters 7, 8, and 9) presents a framework for describing the process of change. The process is defined in terms of the stages of the change process and the characteristics of the change process.

Part IV (Chapter 10) presents the summary framework for the definition of school change efforts affecting limited English proficient students. The chapter also presents a discussion of methodological and measurement issues within a study of change and makes recommendations regarding the design of a study on institutional change.



## CHAPTER 2

### UNDERSTANDING THE NATURE OF CHANGE

#### A. Introduction

The early decades of federal involvement in educational change were a period of optimism. The late 1950s' Sputnik-induced science and math programs, followed by passage of the Elementary and Secondary Education Act (ESEA) and its first few reauthorizations and expansions through the early 1970s, led to local breaks with the status quo, improved practice in the classroom, and improved student performance—or so it was believed. It seemed so easy. As a nation, we could develop better educational products, methods, approaches, or technologies. Educators seeking better ways to educate our children would adopt the educational tools that they needed.

We noted a few operational problems with this model early on, particularly that educators had trouble obtaining information about new approaches and that developers were sometimes not in touch with the needs of the educators, so their products went unused. We dealt with those problems, creating ERIC as a comprehensive information resource and revising our views of the world to include the importance of two-way linkages between the developer community and the user community so that needs could flow as easily as products. In response to other difficulties, we kept tweaking the system; we added "facilitators" to help educators select products, and we added technical assistance providers to help with the relatively esoteric sides of operations, such as evaluation. And we added new programs and modified existing ones to expand the range of available choices. But it still did not seem to work.

What went wrong? By the mid-1970s, researchers were seeking answers in several directions and often came to the same general conclusions: (1) our assumptions, and therefore our models and policies, were wrong; (2) change is sometimes fast, sometimes slow, but generally change is occurring; and (3) the effects that changes produce have less to do with the products that are available than with the process of making the changes. Subsequent research has modified these points, finding that some of our earlier assumptions were not completely wrong after all, although the circumstances in which they hold true are limited. In the pages that follow, we review the various conceptual models and perspectives that have guided the research and policy related to educational change. In doing so, we hope to come to a better understanding of the nature of change and effective methods of influencing change in schools.

#### B. Approaches to Describing Educational Change

Models of educational change are dominated by efforts to develop explanations or approaches that are useful in planning and managing change. During the 1960s, several researchers (Katz and Kahn, 1966; Havelock, 1971; Chin and Benne, 1969) developed

taxonomies for describing educational change. For example, Chin's taxonomy identifies three approaches:

- Empirical-rational;
- Power-coercive; and
- Normative-reeducative.

#### 1. Empirical-rational Approach

According to Chin and Benne (1969), an empirical-rational approach involves the empirical demonstration of the effectiveness of new knowledge, which therefore will be rationally adopted. Included in this approach are the traditional research, development, diffusion, and adoption model and the agricultural extension agent model. Possible difficulties that could result from the selection of this approach for implementing change in educational settings include: "(a) ignoring the new idea, (b) resisting or rejecting the new idea, or (c) modifying the idea or practice in such ways that, when put into practice, it has been significantly changed" (Owens, 1987, p.237).

#### 2. Power-coercive Approach

The power-coercive approach involves the use of sanctions or at least the threat to use them in order to gain compliance from the targeted adopter organizations. Restructuring of power is a model of change reflective of this approach. "Satisficing" or "adopting workable responses to demands (sufficient to avoid sanctions) but not seeking maximally effective responses" (Owens, 1987, p. 237) is one likely outcome resulting from policymakers' selection of this approach for implementing change in educational settings.

Implicit in both the empirical-rational and power-coercive approaches are that good ideas tend to be created outside the organization, and that organizations not only emphasize stability over change but also may actively resist change. Thus, from the perspective of both of these approaches, districts and schools must be made to change by state or national authorities if any change is to occur. And, to be sure, educational organizations have remained markedly resistant to change with these approaches. The National Institute of Education's (NIE) Group on School Capacity for Problem Solving (1975) found, for example, that:

"No matter how good the channels which transmit knowledge and products to practitioners, it appears that such products will spread slowly and see little effective use until schools and districts develop the capacity to engage in an active search for solutions to their own



problems, to adapt solutions to the particulars of their own situation, and equally important, to adapt themselves as organizations to the requirements of the selected solutions (p. 5)."

### **3. Normative-reeducative Approach**

The NIE findings provide support for Chin's normative-reeducative approach. This approach takes into consideration the culture of the organization and posits that the culture can be moved to become more productive through collaborative action of the individuals within the organization. Concepts of change that are reflective of this approach include organizational development and organizational self-renewal.

## **C. Metaphors for Describing Educational Change**

Another lens for examining changes in educational organizations is metaphorical. Through the 1970s, most models of educational change emphasized one or another of two metaphors, with the main difference being whether the change was driven by needs recognized by the potential users or by some agency external to the user.

### **1. Rational Man Metaphor**

The first could be characterized as the "rational man" metaphor, which is similar to the empirical-rational model discussed above and assumes that reasonable people would seek "best" solutions to the problems they identified. The "rational man" metaphor can probably trace its roots back at least as far as John Locke; this user-driven approach to making changes to address specific needs was variously labeled as a problem-solving model, a concerns-based adoption model (CBAM), or a research and development model.

### **2. Technological Diffusion Metaphor**

A second metaphor, which could be labeled "technology diffusion," stemmed from a specific historical example, the agricultural extension agent spreading knowledge of new and better scientific agricultural practice on a farmer-by-farmer basis. This metaphor assumes the farmer (or educator) may not know that there is a problem that could be corrected through adoption of a new technique, so the change agent is needed to pass this knowledge on.

Neither the rational man nor diffusion metaphors provided satisfactory explanations for a broad range of successful or unsuccessful educational changes, but research involving each has left a valuable legacy of attributes of users, resources, and linkage mechanisms that are important for understanding aspects of educational change (as discussed elsewhere in this review). The reason for their lack of explanatory success is that they did not take into account the alternative perspective of educational change as a series or flow of processes that can begin at many places and end in many ways.

People began questioning the rational man and diffusion metaphors when the results of the first national evaluations of federal educational programs began coming in with inconclusive results. Some researchers questioned the quality of the evaluations, some blamed the programs, and others found fault with school personnel, particularly when the evaluations also reported that some of the programs were hard to identify in the field and those that were visible seemed to wither away with the departure of federal dollars. This pattern of widespread blame led others to question the models themselves, especially in their failure to explain why practice did not change, even though good products were being produced by developers and were being adopted by school personnel. The result was a focus on the process of implementation and the attributes of programs and systems that made for different outcomes at the various stages of the process.

Implementation modelers did not usually deny the importance of rational man or technology diffusion models (or coercion, for that matter), agreeing they helped explain the process of adopting an innovation. They pointed out, however, that adoption does not automatically lead to implementation or, even further down the road, to institutionalization. The implementation models added to the study of educational change a host of political, organizational, and other practical matters that are at the heart of school district and school operations. The underlying premise was that opening up the organizational "black box" was the key to understanding when and why changes occur within districts and schools.

#### **D. The Rand Change Agent Study**

One of the more significant influences on the development of educational change research was the 1973-78 Rand Corporation study of federal programs supporting educational change (the Rand Change Agent Study, Berman and McLaughlin, 1975.)

The two main purposes of the study were (1) to describe the process of implementing innovative practices in schools and (2) to identify factors that affect the outcomes of innovative practices. The study methodology included a review of the literature on educational innovations; a nationwide survey of a sample of 293 local projects funded by four federally funded programs (Title II and Title VII of the Elementary and Secondary Education Act; the 1968 Vocational Education Act; the Right to Read program); and personal interviews with local project staff, and state and federal government officials (McLaughlin, 1990).

Findings from the Rand study had a profound effect on how policymakers viewed the process of bringing about change. The study report stressed the importance of implementation within the process of change and noted the influence of local variability on change outcomes. Recently, one of the principal authors and investigators in the original study, Milbrey McLaughlin, reviewed the most significant conclusions in light of recent practices and understandings of the change process. In this reassessment, she suggests that while some of the original findings remain true today, others require modification.

## 1. Study Findings That Remain True

McLaughlin (1990) listed three main conclusions from the Rand Study that could still be considered valid:

- Policy cannot mandate what matters.
- Implementation strategies dominate outcome.
- Local variability is the rule; uniformity is the exception.

**Policy cannot mandate what matters.** Although federal policies (and federal funds) encouraged local projects to adopt innovative practices in education, only a few of the projects studied actually implemented these innovations. And even fewer were able to institutionalize the innovations that had been adopted. To implement and sustain educational change requires both local capacity, e.g., expertise and resources, and local will, i.e., motivation and commitment. Neither capacity nor will is strongly affected by policy mandates.

**Implementation strategies dominate outcome.** Rand found that policy outcomes are significantly influenced by differences in local strategies related to how, when, or whether to implement an innovation. The researchers concluded that effective implementation strategies were those that were consistent with local needs and resources, i.e., strategies that promoted mutual adaptation rather than uniform implementation, and that provided teachers with the necessary support to participate in the change efforts. The findings indicated that, in particular, district leadership and support were necessary for successful implementation and continuation. According to the Rand report, ineffective strategies were those that did not encourage teacher participation, such as failing to provide ongoing training and support and relying on external consultants.

**Local variability is the rule; uniformity is the exception.** The local projects that were surveyed varied substantially in terms of their educational practices, resources, and so on. Such diversity does not affect local capacity to influence change, but it does play a role in how change comes about and what the change looks like.

## 2. Study Findings That Require Modification

In her reanalysis, McLaughlin (1990) also reported a number of conclusions or interpretations of study findings that should be modified to reflect current knowledge of the educational change process. For example:

- Policy goals can only be achieved if local initiators actively support the goals that have been set.
- External agents cannot promote change effectively.

- Policy goals are relevant to classroom teachers.

**Policy goals can only be achieved if local initiators actively support the goals that have been set.** The importance of initial motivation was overemphasized in the original study. Findings that related to effective strategies were interpreted to mean that unless local initiators were supportive of the change from the beginning, and were determined to carry it out, project goals could not be achieved. The study overlooked that individuals who are required to change can become actual advocates. In a 1985 study of policy changes associated with the transition of federally funded compensatory education programs from Title I of ESEA to Chapter 1 of ECIA (Education Consolidation and Improvement Act), McLaughlin, Shields, and Rezabek (1985) documented "the importance of local will and the fact that individuals or institutions originally opposed to an idea can change their minds" (p. 13).

**External agents cannot promote change effectively.** The Rand Change Agent Study had concluded that external agents, i.e., external consultants or externally specified projects, were too far removed from—and not sufficiently responsive to—local needs and conditions to effectively support the planned change. Subsequent research including the DESSI study by Crandall et al. (1982) demonstrated that "externally developed programs and external consultants can be extraordinarily effective in stimulating and supporting local efforts to improve practice" (p. 14).

**Policy goals are relevant to classroom teachers.** Another misconception from the Change Agent Study was the assumption that the policy structure, i.e., federal, state, and local policies, was relevant for classroom teachers who implemented the policy into classroom practice. In reality, the structures of greatest importance to teachers may have little or nothing to do with specific policy goals or objectives. Professional associations, colleagues, or various other factors are of greater relevance to the daily concerns of most teachers.

As the above discussion shows, our understanding of the nature and process of educational change continues to evolve. Fullan (1991) appropriately stated, "The reader who by now has concluded that the theory of educational change is a theory of unanswerable questions will not be too far off the mark" (p. 110). Change poses many dilemmas with few clear answers on what to do. We turn now to one of the more recent ideas of educational change, the idea of change as systemic reform.

#### **E. The School as the Organizational Focus of Change**

Within this new conceptual paradigm of the systemic nature of educational change, there is an increasing emphasis on the characteristics of the school as an organizational system. Researchers are beginning to look at schools as organizations and to draw lessons from the literature on successful organizations and organizational change. School-wide reform efforts also are structured to address the school as an organizational unit. For example, within the Coalition of Essential Schools, school restructuring efforts are understood as an

"organizational learning process" involving the substance of change, the process of change, and "organizational understandings" (Prestine and Bowen, 1993).

A review of the research on school factors and their relation to student achievement demonstrates this shift toward a more school-wide, organizational system focus. Research conducted prior to the early 1970s examined variables such as school facilities, size, or resources which overall produced only weak or inconsistent relationships with student outcomes (Anderson, 1982; Centra and Potter, 1980; Coleman et al., 1966; Mayeske et al., 1972). At about the same time, a variety of educational innovations were being developed and adopted without clear goals or understanding of the change being adopted. Since little thought or effort had been devoted to the actual implementation and follow-through of these innovations, most failed (Fullan, 1991). Thus, there was an abundance of pessimism in educational research.

Subsequently, in the late 1970s and early 1980s, important reviews of research on teaching and teacher effectiveness (e.g., Dunkin and Biddle, 1974; Rosenshine and Furst, 1973) began to indicate more promising results of change efforts. There was also the beginning of major research efforts to improve the effectiveness of schools. Although much of this research was empirical and generally not guided by specific theories (Brophy, 1979), a considerable knowledge base began to develop.

For example, research on specific teacher behaviors, such as "direct instruction" (Rosenhine, 1979) and "active teaching" (Good and Grouws, 1975; Good et al., 1983) were associated with higher levels of student achievement. Other work showed the relationship of principal leadership, and principal involvement in instruction (Brookover et al., 1979; Edmonds, 1979; Ellett & Walberg, 1979; Rowan et al., 1983), and administration-faculty rapport with student achievement (Bell, 1979; Ellett and Walberg, 1979). School climate variables, such as good teacher-teacher relationships, and good student-teacher relationships (Wynne, 1980), were linked with higher achievement outcomes, as were variables such as values and goals of persons and groups within the school. For example, a "constant press for excellence" (Brookover and Lezotte, 1979), and agreement on academic goals, with incentives and praise for achievement, were linked with student success (Wynne, 1980). As more recent examples, school reform efforts such as the School Development Program (Comer, 1993-94) and the Coalition of Essential Schools (Coalition of Essential Schools, 1989) focus on approaches that require commitment to goals and integrated efforts from all participants within a school. In reform models such as these, there is a clear awareness that involving only certain segments of the school in change will most likely lead to failure in the effort, and that there needs to be a pervasive commitment within a school to the stated goals and principles. These models recognize the need to work with schools as key units and to work with all levels within the school as an organizational system.

### **1. Organizational Perspectives in the Study of School Change**

The social-organizational approach requires a broader, more complex perspective on the nature of the school. Within this approach, it is important to examine the interactions among levels within the school when addressing some of the traditional



questions that have been asked of schools. Bidwell and Kasarda (1980) used a socio-organizational approach to reexamine the earlier school-effects studies that had shown no significant effects of school-level variables on student outcomes.

In this reexamination, the authors argued that a major conceptual and design error was present in much of the earlier research. They attributed the previous negative findings to the failure of that research to examine more closely the linkage between school factors (e.g., the school resources actually received by students) and student outcomes. For example, within the socio-organizational approach, the effects of resources on outcomes are examined in relation to the instructional units being studied, i.e., resources are examined at the level of the schooling received by specific students. This approach is more appropriate since resources within a school often may not be evenly distributed. Where resource distribution varies for different instructional units and thus for students, evaluation of the effects of resources should be examined at the level of the schooling (defined as the process through which instruction occurs, social organization of classes, curriculum, and other factors) received by the students. Bidwell and Kasarda demonstrated that when outcomes are examined in relation to resources at equivalent levels, then effects are found.

Bidwell and Kasarda's analyses, and the work of other researchers within the organizational systems perspective (e.g., Rowan, 1990; Raudenbush and Bryk, 1989) provide a useful and promising approach to the study of change within schools.

## **2. Two Contrasting Models of School Organization for Change**

The organizational perspective on school change essentially requires a revision of the common views of schools, just as school-wide change requires basic revisions of how schools function. Schools as they have generally operated in the past—and as most continue to operate—have been described as "loosely-coupled systems." That is, schools are described as systems without tight bureaucratic controls over teaching, and in which there is considerable autonomy and isolation of teachers within their classrooms (e.g., Goodlad, 1984). As a consequence, schools also have been characterized as lacking the types of organizational supports that would facilitate the needed professionalization of teaching (Rowan, 1990).

Rowan (1990) points out that there are now two waves of reform: efforts toward increased standards (intensification) and efforts toward increased professionalization. The first wave would tighten bureaucratic controls; the second would increase professional controls. Schools in which either of these types of changes succeed will no longer be characterized as loosely coupled systems. Thus, new organizational models of schools must be developed to examine change. Also, research on changes in teaching, learning, school management practices, and other change efforts will need to take into account organizational system factors. It will be important to understand how organizational style affects teaching and learning and, ultimately, student outcomes.

As a starting point, Rowan (1990) defines two separate models of school organization that parallel the differences in the reform waves: "control" and "commitment." The two models represent very different modes of operation for teaching and school processes. They also represent different assumptions about the change process.

**Control model.** The control model relies on strong bureaucratic control and a complex system of input, behavior, and output controls. The objective is to increase student achievement by requiring specific teaching processes and by standardizing student opportunities for learning.

**Commitment model.** The commitment model focuses on the enthusiasm and professionalism of committed teachers, on collaboration among teachers, and on teacher participation in school decision-making. This has also been defined as an "organic" management model and is one in which bureaucratic controls are loosened rather than strengthened in order to increase practices that will ultimately improve student outcomes (Rowan, 1990, p. 354).

Neither the control model nor the commitment model is likely to exist in its pure form; however, by recognizing these models, we can better interpret and understand interactions among specific change efforts within an individual school. Also, in discussions of change processes, it is helpful to recognize that differences in viewpoints about change may be due to these underlying differences in assumptions about the model for change, that is, assumptions about how change within schools should proceed.

### **3. Implications of an Organizational Perspective for Studying School Change**

An organizational perspective requires that a study of the school incorporate observation of the school's operation at a number of different levels, rather than focusing on only one, and that examination of outcomes of specific change efforts be carried out at levels appropriate to the focus of the change effort. Taking this approach can help to clarify the processes that produce greater or lesser levels of success in implementation of specific change efforts. As a result of this better understanding, we would expect to obtain better guidance for policy and practice.

Through an organizational perspective, one may be able to better understand why certain change efforts may succeed in some schools and not in others. For example, Rowan suggests that classroom level factors, such as the teachers' perceptions of the nature of their work in implementing a particular instructional approach, can affect the success of change activities in other areas of the school, such as specific management level changes. In cases where teachers perceive their work within classrooms as non-routine and complex, they will view collaboration and professional exchange as helpful; in cases where teachers view their work as routine and straightforward, they are less likely to collaborate. Teachers implementing new classroom practices with substantial ongoing decision-making to adjust to individual student performance are likely to perceive this as complex work and are likely to

perceive sharing with others as a helpful and meaningful resource. In this case, change efforts that promote collaborative activities will probably take hold more readily.

However, if new instructional approaches are implemented that teachers perceive as straightforward and less complex, then collaborative sharing with others is less likely to be perceived as important to them. The probable result is that mechanisms for teacher sharing of instructional practices will not take hold. Thus, viewing school change through an organizational perspective that incorporates the various levels or areas of focus within the whole school can open the door to more clarity in understanding factors that affect the success of change efforts.

McCaslin and Good (1992) make a similar point with regard to instructional activities. They argue that it is incongruent to expect students to fit into a "risk-taking," more student-directed, approach to instructional activities when classroom management systems are more teacher-directed and closed to student participation. In other words, more "organic" or "commitment" models in terms of student participation are not likely to coexist comfortably within a "control" approach to classroom/school management. Thus, the examination of interactions between tasks within the classroom and the management form in use may provide some important understanding of factors related to successful implementation of change efforts.

## **F. The Context for School Change**

In this chapter, we have described some of the more prominent conceptual models and perspectives that have guided the study and practice of educational change efforts, and how these assumptions have altered over the years. Whereas in the 1970s, educational change efforts were concentrated on small-scale, piecemeal innovations, the more recent emphasis has been on the implementation of sweeping, systemic reform. The reform efforts are being carried out at the national, state, and local levels.

One important context for any school is the district in which it is located. Many districts have been taking major steps toward district-wide reform and restructuring, with implications for schools in terms of the level and nature of the support provided for change. In addition, the nature and process of change within districts may provide important parallels for change within schools. Districts that are planning substantial reform efforts engage in "strategic planning" for change, involving setting goals and focuses for change, and identifying a process for change. Thus, the components of strategic planning for change within districts, as described in the next chapter, are another source of key background information for the study of school change involving limited English proficient students.

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## CHAPTER 3

### STRATEGIC PLANNING FOR CHANGE WITHIN DISTRICTS

#### A. Introduction

Strategic planning, emphasizing long-term goals and system-wide improvement, has long been an integral part of the business world. The notion of strategic planning for educational change, however, is a relatively new one, with the bulk of the research reported within the last ten years. As the scope of educational change and restructuring efforts widens, educators concerned with the process of change have come to regard strategic planning as the only sound basis for designing a new educational system. Strategic planning is a means of first developing a vision of what the future system should look like, and then working to make that vision a reality. Strategic planning, when successfully applied to the educational context, meets both the educational and social needs of the community, providing community members with a sense of ownership in the educational system (Herman and Kaufman, 1991).

In this chapter, findings are presented from selected research related to strategic planning for educational change. Primarily, research on strategic planning in districts serving K-12 has been included. Findings are also incorporated from a recent focus group report on master planning in school districts serving limited English proficient students (Felsen, Hopstock, and DiCerbo, 1994). The focus group consisted of ten superintendents from across the United States whose districts were developing or implementing district-wide master plans. Each district submitted a copy of the master plan that had been designed.

#### B. Relationship of Strategic Planning to the Change Process

Research on educational change efforts suggests that no one theoretical model underlies strategic planning in the educational context. To a large extent, beliefs about change and the process by which change is accomplished determine beliefs about strategic planning, and strategic planning models parallel change models. One perspective suggests that change is relatively linear and orderly, a series of sequential steps that begins with a comprehensive strategic plan. Change is thus a virtually guaranteed consequence of strategic planning, and the planning phase is separate from subsequent stages. Loucks-Horsley and Cox (1984) seem to hold this perspective, describing the change process in terms of three discrete phases—initiation, implementation, and institutionalization—and suggesting that "each phase requires different actions, activities, and arrangements" (p. 6). Planning is part of the initiation phase.

As educational reform efforts become more numerous and the nature of educational change is better understood, there is an emerging sense that change is a much more disorderly process than previously believed. Fullan (1991), for example, warns that "change is not a fully predictable process" (p. 107), a sentiment echoed by Conley (1993a), who notes that

"careful, predictable, staged strategies for change" may not be of much value (p. 333). In a similar vein, Tyack and Tobin (1994) argue, "Almost any blueprint for basic reform will be altered during implementation...." (p. 478). The idea here is that, no matter how well-conceived and thorough in detail the plan, it will not be translated exactly as envisioned. Tyack and Tobin suspect that this alteration may be a virtue, a way of adapting blanket reform to local needs (see also Louis and Miles, 1990; Carlson and Awkerman, 1991; and Herman and Kaufman, 1991).

The idea that change cannot be readily predicted, that change is, in fact, "chaotic," (Fullan and Miles, 1992, p. 749) is reflected in the research on strategic planning. Strategic planning is more and more viewed as a means of continuous improvement of the educational system. A number of authors subscribe to this view, including Cook (1990); Bollin and Eadie (1991); Herman and Kaufman (1991); and Tyack and Tobin (1994).

For example, Herman and Kaufman argue that strategic planning is not simply a tool for developing a written planning document but rather an ongoing process for serving societal needs. Bollin and Eadie (1991) take this same perspective when they discuss what they term strategic management, a combination of strategic planning and the continuing process of institutionalizing the plan. Whereas strategic planning is static, strategic management is a dynamic process. Louis and Miles (1990) describe evolutionary planning, a much longer process than strategic planning that calls for continuous review and refinement. Louis and Miles liken evolutionary planning to "taking a journey. There is a general destination, but many twists and turns as unexpected events occur along the way" (p. 193).

A second theoretical issue with implications for strategic planning is the extent to which change is brought about through a political, i.e., top-down, process or through a consensual, bottom-up process. Authors such as Loucks-Horsley and Cox (1984) state that everyone involved in the school and community has a role in change efforts, and few would disagree with this conclusion. Where theoretical views differ is not in terms of who is involved, but when, how, and how much. Cook (1988; as cited in Hayden, 1993) believes that strategic planning needs to involve everyone at the top and the bottom of the organization simultaneously. Fullan (1991), for his part, suggests that strategic planning includes top-down initiative but bottom-up participation. This latter notion—that initiation of the process comes from a few planners at the top of the organization—is shared by many authors.

Comments from district superintendents (Felsen, Hopstock, and DiCerbo, 1994) indicate that the strategic planning that currently takes place in school districts includes both political and consensual elements. The relative combination of each is dependent, at least in part, on the management structure of the district. Thus, while district staff are the main initiators and coaches in the strategic planning process, they play a more prominent role in districts with centralized management structures and/or where strategic planning is mandated by the state. Where site-based management structures are in place, district staff tend to have less involvement. LeBuffe (1993) described an analogous situation when differentiating between two types of planning: strategic planning and campus planning. Strategic planning is defined as a top-down, district-wide process that involves relatively few people and takes place over a relatively short period.

Campus planning, in contrast, is a bottom-up, campus-wide, long-term process involving a relatively large number of people. Findings from Conley (1993b) suggest that, in practice, school district planners do not make distinctions between the political and consensual, and the planning process tends to contain elements of both simultaneously. Conley also refers to technician elements of planning—elements such as plan implementation that require adherence to detail but not necessarily broad participation.

### C. Pivotal Steps to Successful Strategic Planning

Prevalent among the research is the idea that the change process includes a number of interrelated steps or phases. The strategic planning process is typically described as one step or set of steps in the process toward change. Conley (1993a), for example, seems to be discussing strategic planning when he describes "vision building"—creating shared agreement on values, beliefs, purposes, and goals that is "clear enough to enable participants to make choices that help move the organization toward achievement of the general values, beliefs, purposes or goals" (p. 346). Conley lists the following four phases of vision building:

- A **readiness phase** in which people are made aware of the issues, commit to change, and organize for change.
- A **data collection phase** that includes the collection of data and the creation of a database.
- A **vision-building phase** that includes the development of a mission statement and the setting of priorities.
- An **action planning and implementation phase** including implementation, monitoring of progress, modification or revision, and evaluation.

The results of the vision-building process described by Conley is a vision statement or blueprint for change that sets the stage for action. Elements of the four-step process are contained in models of strategic planning described by other authors. Fullan (1991), for example, asserts that "above all, planning must consider the pre-implementation issues of where and how to start, and what readiness conditions might be essential prior to commencing" (p. 111). Louis and Miles (1990) discuss something similar to a readiness stage when they talk of "effective action" as a way to get people ready for planning. The two also describe vision building or the development of inspirational themes, i.e., "dynamic shorthand descriptions of the change program" (p. 212).

The Cambridge process of strategic planning, a process advocated by Bill Cook, specifies 11 steps: (1) communicate about the need for planning; (2) collect important data about the organization prior to planning; (3) select a strategic planning team of 25 people; (4) conduct the first planning session, which develops the planning components; (5) communicate to stakeholder groups the draft of the strategic plan; (6) select action planning teams to develop action plans to implement each identified strategy; (7) conduct the second planning session,

which considers each action plan; (8) prepare a summary of the final plan; (9) present the plan to the board for consideration and approval; (10) implement the plan; and (11) update the plan annually (Hayden, 1993).

Herman and Kaufman (1991) developed the following 12-step strategic planning model: (1) choose the primary client; (2) identify the vision; (3) identify beliefs and values; (4) identify current missions; (5) identify needs; (6) identify matches and mismatches; (7) reconcile differences; (8) reaffirm the ultimate goal; (9) identify strengths, weaknesses, opportunities, and threats (SWOTS); (10) create decision rules; (11) develop strategic action plans; and (12) put the strategic plan to work. Kaufman and Herman later reduced their list to nine steps, but the basic model remained the same (Rinehart, 1992).

Other authors, including Bollin and Eadie (1991) and Dlugosh (1993) present comparable models. The models that have been developed, although different in terms of level of specificity, have a number of common elements. For example, in each, strategic planning begins long before anything is put on paper and continues long after. Each model advocates preparation for planning through data collection and delineation of purpose; the creation and implementation of specific action plans; and evaluation and revision on an ongoing basis. Both Dlugosh (1993) and Cook (1988; as cited in Hayden, 1993) propose a strategic planning team of approximately 25 people. Like Dlugosh (1993) and Herman and Kaufman (1991), Bollin and Eadie refer to the identification of strengths, weaknesses, opportunities, and threats (SWOTS) as a necessary part of the strategic planning process.

There are some important differences among the models. For example, while Conley acknowledges that "community members should be involved in the process of vision building" (1993a, p. 317) and the Cambridge process includes the need for all stakeholders, i.e., those influenced by the plan, to be represented on the strategic planning team, Herman and Kaufman propose their model only for "school board members, administrators, and other planners" (p. 25). Herman and Kaufman suggest, however, that planners choose the community and society as their primary clients and keep their needs in mind when planning. In each of these models of strategic planning, initiation of the process stems from the efforts of a relatively small number of people. Correspondingly, one of the conclusions reached by Louis and Miles (1990) is that successful planning efforts typically begin with a small group of interested participants under the sponsorship of the principal or other legitimate leader.

Findings from ten focus group districts (Felsen, Hopstock, and DiCerbo, 1994) indicate that the process of strategic planning followed a similar pattern, with each district including the following elements:

- Promote a climate of change.
- Obtain widespread participation.
- Anticipate resistance.

- Delineate plan goals, objectives, and strategies.
- Monitor plan implementation progress.
- Allow flexibility to adjust/revise plans.

#### **1. Promote a Climate of Change**

According to focus group participants, many districts start the process of strategic planning by setting up the conditions for change—collecting, summarizing, and disseminating information about the points that the plan is expected to address, e.g., the extent of the dropout rate in the district and effective methods of instruction for LEP students. This type of data dissemination has improved community awareness about important concerns and has increased support for new programs.

#### **2. Obtain Widespread Participation**

Focus group participants invariably agreed that participation in the planning process must be extensive—district and school staff as well as community members should all be involved—because the more people who "buy into" the plan at the beginning, the easier it is to implement later.

#### **3. Anticipate Resistance**

Related to promoting a climate of change and building support is the expectation of at least a certain amount of resistance to planned change. Resistance was viewed among the focus group participants as a natural part of the strategic planning process, and two main strategies are used to overcome it: reteaching and replacing. The first strategy assumes that key stakeholders in the process can be persuaded to support the strategic plan if they are given enough information to critically assess its merits. The second strategy is essentially negative reinforcement, i.e., those who do not support the strategic plan are fired or ignored.

#### **4. Delineate Plan Goals, Objectives, Strategies**

Making decisions on what to include in the plan is often a back-and-forth process between district and school staff and community members—a process that was referred to as playing an accordion—as plans are drafted, reviewed, and revised. Although many districts are moving toward site-based planning, district superintendents and assistant superintendents are often instrumental in setting a schedule for the completion of tasks, assigning responsibilities, and providing resources and assistance for plan development.



## **5. Monitor Plan Implementation Progress**

District superintendents emphasized the importance of periodically reviewing the implementation of the plan. What objectives have been accomplished? What remains to be done? What have been the outcomes so far?

## **6. Allow Flexibility to Adjust/Revise Plans**

Most focus group districts understand the value of revising unrealistic goals or goals that, upon reflection, do not meet community needs. Focus group participants generally agreed that the strategic plan is not a static document.

## **D. Success and Failure with Strategic Planning**

Educational change efforts, despite good intentions, often fail to achieve substantial or long-lasting change (Fullan, 1985;1991). Fullan lists a number of potential obstacles to change, including ignorance on the part of educational leaders as to how the change process works, and the complex and unpredictable nature of change that may stall even good efforts. Nonetheless, Fullan argues that deliberate or planned change is possible through effective planning, i.e., planning that involves continuously acting, reflecting, and revising—the evolutionary process described by Louis and Miles (1990). Louis and Miles suggest that many of the weaknesses inherent in the planning process can be circumvented by this evolutionary planning process, which takes advantage of incremental successes to build up certainty in the change process and thus support for change. They argue that support is especially important when there is a great deal of segmentation between different departments, classrooms, etc. Since opposition is diffuse, small-scale planning efforts may be easily implemented without substantial support; however, more profound change is impeded by the lack of communication. Conley (1993a) discusses a similar problem in strategic planning, i.e., fragmentation or the failure to link the stages of vision building and goal setting with the nitty-gritty detail of putting plans into action. Other authors, including Kaufman and Herman (April, 1991), list several mistakes to avoid when planning, e.g., setting narrow goals and unclear objectives and failing to include a representative group of planners. The majority of these lists are simply the reverse of what should be included in the strategic planning process, i.e., the pivotal steps.

Unfortunately, since strategic planning for education is a relatively new concept, much of the research is theoretical rather than practical. Findings are thus limited, and it is difficult to gauge the results of plans only recently implemented. Nevertheless, a growing body of research studies addresses the application of strategic planning in schools and school districts.

A recent article by Mirel (1994) offers some insights into why educational change efforts may fail. His findings, although targeted at the educational change process in general, have some relevance to strategic planning. Mirel analyzes the failure of a \$1.25 million educational reform effort begun in 1992, the Bensenville New American School Project. It called for

profound educational change, including using nonschool sites in the community as educational settings; keeping schools open and available seven days a week for both children and adults; grouping students by ability and interest; and focusing on authentic assessment measures of achievement. On the basis of his analysis, Mirel makes several conclusions about educational change. He argues, for example, that gearing reform to local needs and culture and involving key stakeholders in the process are not enough to guarantee successful change. It is also important to consider the role of the community and teachers in the educational change process and to more clearly address their political and economic concerns, e.g., the possibility of increased taxation, and threats to job security that may result from the reform. Moreover, Mirel stresses that "in educational reform, perhaps less is more" (p. 517). When significant change is proposed, it is extremely difficult to achieve widespread endorsement. Yet, endorsement by parents and other stakeholders is necessary before meaningful change can occur. Mirel does not suggest that sweeping change is never possible or desirable, but he does note that less radical changes have been successfully introduced in the same community.

Rinehart (1992) noted some positive effects of strategic planning efforts in a school district in the southeastern United States. The district comprised approximately 3,600 students representing 30 different countries and 15 different languages. The strategic planning process included: choosing groups of stakeholders (university, business/professional, governmental, ministerial, parents, retired citizens, students and alumni, support staff, and teachers); presenting an Ideas Seminar regarding the future of schooling, the economy, technology, and technical education; identifying strengths, weaknesses, opportunities, threats and strategic issues needed for implementation of their vision; electing two representatives to serve on a Local School System Strategic Planning Committee and to develop the strategic plan; and holding a town meeting to present the plan to the community for review.

Rinehart did not identify quantifiable outcomes associated with the strategic plan, but benefits of the planning process included the identification of goals, objectives, and strategies. The primary limitation to the process was failure to include a truly representative group of participants, i.e., while there was a mix of participants, they did not match the demographics of the community. In addition, principals did not have input into the vision-building stage of the plan and this ultimately limited their participation.

Nebgen (1991) describes some concrete results from the strategic planning efforts of one school district. The strategic planning process, based on the process advocated by Cook, was associated with improved student achievement levels, decreased violence and substance abuse by students, and increased community business outreach efforts. Nebgen found that most problems along the way came from the failure to communicate with staff and community during the planning process.

Findings from the focus group districts suggest that strategic planning is sabotaged by resistance to change and by bad plans.

## **1. Resistance to Change**

As discussed earlier, focus group participants stressed the importance of having strong community and school staff support during the planning process. Those resistant to change can often be persuaded with data that illustrate the need for change or, in some cases, resisters can be replaced or ignored.

## **2. Bad Plans**

Plans may be bad for a number of the reasons discussed above. Plans may be developed by a small group of individuals without the input of significant stakeholders. Plans may be inconsistent with district management style, e.g., a highly centralized district trying to develop a site-based plan. Plans may contain unclear or unrealistic goals (goals may be unrealistic because they cannot be achieved, or because they cannot be achieved with current resources). Plans may not include strategies for the achievement of the goals that have been set. Plans may be inflexible and therefore more likely to be thrown out.

Overall, findings from the research suggest that, whatever the actual outcomes, people feel good about the process of strategic planning. The process of strategic planning, when it opens up communication lines and diversifies decision-making, seems to have positive consequences beyond the outcomes specified in the planning document.

## **E. Implications of Strategic Planning Efforts for Limited English Proficient Students**

The bulk of the literature on strategic planning does not address the specific concerns of limited English proficient students and how these are accommodated within the strategic planning process. Nevertheless, findings from a case study of strategic planning in a multicultural district (Rinehart, 1992) suggest that strategic planning has advantages over other types of planning—advantages that may have a positive influence on the learning environment for LEP students. Strategic planning can help achieve the goals of a multicultural student population because it considers future possibilities, typically embraces representative stakeholders, and includes the realization that a variety of factors influence learning.

Rinehart argues, however, that there is a danger that when strategic planning is only in the hands of individuals from the dominant culture, the planning document may not be representative of the needs of multicultural populations. Strategic planning for multicultural populations should address five main goals: equal opportunity to learn; positive attitudes toward other students; improvement in decision making and social skills; a cross-cultural perspective; and recognition of the value of cultural differences (Rinehart, 1992). As Rinehart notes, these goals are worthwhile for all students, and at least one focus group participant remarked that a well-conceived strategic plan addresses the needs of every student in the district. In fact, the strategic planning documents reviewed by Conley (1993b) and by Felsen, Hopstock, and DiCerbo (1994) include very similar goals.



Findings from focus group participants indicate that the way in which districts approach strategic planning for limited English proficient students depends on the size and composition of the limited English proficient population, state legislation, and district goals. In districts with very large, homogenous limited English proficient populations, the general strategic plan is often directly focused on limited English proficient education, promoting such educational strategies as whole language reading and native language instruction. These districts may also develop a separate plan for those students in addition to the general plan. Districts with few limited English proficient students, or districts where those students are concentrated in a few schools, typically incorporate the needs of those students within the general plan and/or in a separate handbook of guidelines and procedures (Felsen, Hopstock, and DiCerbo, 1994).

## F. Summary

This review of the literature related to strategic planning for educational change indicates a number of areas of general agreement. First, strategic planning has come to be viewed as an effective means of achieving "extraordinary purpose" (Cook, 1990, p.74), i.e., profound change. Second, strategic planning is typically defined in terms of a process of constant adaptation to local conditions and requirements. The research describes a basic set of steps that are necessary to the process, although the sequence of steps may differ substantially across school districts, and the extent to which such differences affect strategic planning efforts has not been defined. Finally, the research suggests that strategic planning is most successful when the goals that are set have been clearly communicated to, and sanctioned by, those whom the plan will affect. Many of these same principles can be expected to be relevant to school-wide change.

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**PART II**

**UNDERSTANDING THE NATURE OF CHANGE**

## CHAPTER 4

### A FRAMEWORK FOR DESCRIBING THE CONTENT OF CHANGE

#### A. Introduction

Research and innovation efforts increasingly are focused on school-level factors as important sources of input to student outcomes. However, how school-level factors are examined, and how the relationship between school and classroom and other factors is viewed, has changed substantially over the decades. There has been a shift from a focus on discrete school effects or innovation efforts to approaches that emphasize more systemic views of the school. In this perspective the school is viewed as an organization and characteristics of the school are described at different organizational levels. Viewed in this way, interactions among factors are taken into account and these may occur at any level and across levels.

The recent legislation reauthorizing the Elementary and Secondary Education Act as the Improving America's Schools Act (IASA) states an emphasis on systemic change that is consistent with current research on reform efforts. IASA's Title VII continues to provide support for bilingual education programs for limited English proficient students, but with a new focus on systemic change. The purpose of the programs is to ensure that limited English proficient students meet rigorous standards for academic performance expected of all K-12 students and are included within the development of broad reform efforts.

Title VII reflects the systemic emphasis of the IASA legislation through the types of programs defined and through the requirements stated for the various programs. For example, Program Development and Implementation Grants establish new "comprehensive, coherent" programs. Comprehensive School Grants provide assistance in implementing "schoolwide bilingual education programs for reforming, restructuring, and upgrading all relevant programs..." (Section 7114). Systemwide Improvement Grants (Section 7115) are for districts that serve limited English proficient students.

Development of a framework for describing change within schools that serve limited English proficient students must take into account the complexity of the school as a system. In this chapter, we attempt to do so through our definition of the content of change. Our definition incorporates both the goals of a change effort and the focuses of change within the school, viewed as an organizational system.

#### B. The Goals of Change

We identify goals as one key dimension of change efforts. Goals essentially define the standards which the school is attempting to meet, and specific change activities will be shaped by those goals.

The legislative goals for Title VII of the IASA represent important new visions of how programs for limited English proficient students should be integrated into the overall instructional services within a school or district. In the legislation, the school is viewed as a key unit of change and a comprehensive, coherent, and integrated program is seen as the goal of this change, i.e., comprehensive school programs. Although the legislation does not provide a specific definition of Comprehensive School programs, key goals can be identified on the basis of what is present in the legislation and what is present in the research literature on effective instruction for language minority students. Our review of these sources has resulted in identifying four key goals of instructional services for programs serving limited English proficient students. Therefore, our framework defines a comprehensive school program for limited English proficient students as one which fulfills the following four goals:

- **Coherence** in instructional experience.
- **Challenge** in instructional content, concepts, and skills.
- **Community** within the school and in linkages outside the school.
- **Concern** for the whole student.

We expect these goals will be relevant for all students, but we also expect that they will be of particular significance for change efforts related to the instruction of limited English proficient students. Each of these four goals is described below.

### 1. **Coherence**

Coherence refers to consistency in the nature of the instructional experience of individual students across different settings. This coherence can be present in a number of ways. First, there is consistency in the level and content of instruction received by a student within a school year and in articulation of instruction across school years. Second, consistency refers to the instructional approach that is utilized across the different settings in which each student receives instruction. Third, consistency refers to the flow or structuring of instruction within a typical school day or week for any student, such that instruction in one area is not disrupted or cut short to provide instruction in a second area.

### 2. **Challenge**

Challenge refers to the nature of instructional content, concepts, and skills that are the focus of instructional activities. Current reform efforts emphasize the need to move away from rote, lower-order cognitive skills as the focus of instructional activities and toward instructional content and tasks that help students develop and use higher order cognitive skills and that help students constantly advance the level and depth of their knowledge.

### 3. Community

Community refers to linkages within the school and to linkages outside the school. Within the school, community refers to interaction among students or teachers, and between students and teachers. Community also refers to important linkages and understandings between the school and the community outside the school walls, including parents, business, and others. Communication, i.e., opportunities for sharing perspectives and ideas, is a critical support for—and means of—building community.

### 4. Concern

Concern for the whole student refers to attention and support given to the needs of the student, including physical and emotional health. Concern is shown through linkages with social services, assistance to families, counseling with students, among other approaches that help ensure that students enter their classrooms ready to learn.

These four goals can be defined as the broad objectives of comprehensive school programs for schools serving limited English proficient students. Specific change efforts would therefore include activities within the school system that are directed toward one or more of these goals. It should be noted that the goals of comprehensive school programs actually are not ends in themselves. In fact they are intermediate goals in that they are expected to provide conditions that will lead to positive student outcomes, that is, to high levels of student performance and achievement (Figure 4-1).

## C. The Focus of Change

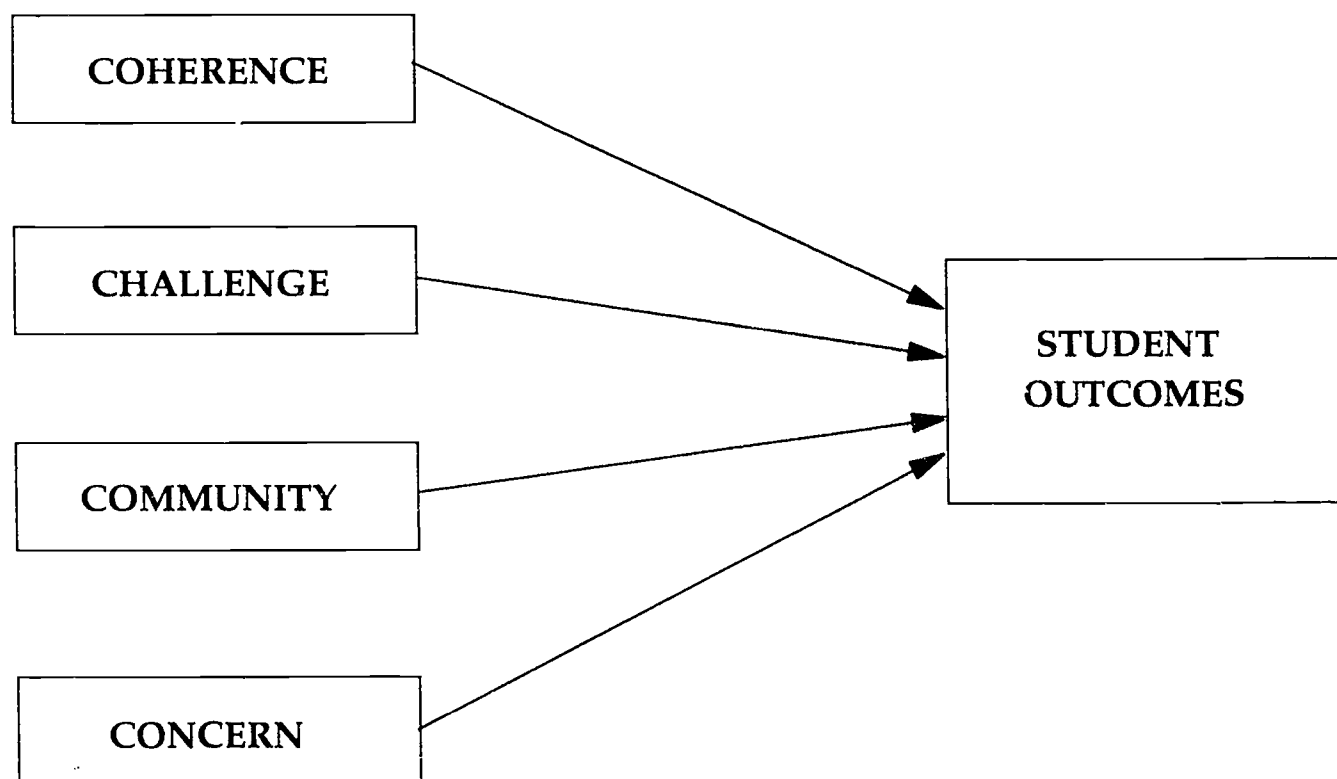
The second component of our definition of the content of change are those aspects of the school as an organizational system that are selected as the focus of the change effort. The five areas of focus identified in the model are drawn from research on school and teacher effectiveness and student outcomes, and from the research on change. Below, five areas of the school as an organizational system are defined as areas of focus for specific change efforts. These are the following:

- Structure and characteristics of the school;
- Climate/culture;
- Management/governance;
- Linkages with community; and,
- Student instructional experience.

These five areas of focus essentially represent what we believe are significant categories of variables to be included within a study of change. These five areas of focus are likely to interact such that changes within one area of focus can affect the nature of other areas of focus within the school. To describe a change effort, we believe that it will be important and

Figure 4-1

## THE GOALS OF COMPREHENSIVE SCHOOL PROGRAMS



helpful to identify the primary area of focus of the change effort, recognizing that such interactions can occur.

**1. Structure and Characteristics of the School**

Several relatively fixed school characteristics define the nature of the school. Many of these characteristics have implications for the implementation of change or, perhaps, for the specific types of change efforts that might be selected. Examples of such characteristics are the grade level served by the school, the size of the school, the resources available to the school, and the student population served. While many of these characteristics are generally fixed and less amenable to change, they can be addressed by change efforts (e.g., restructured grade levels, school-within-a school to build smaller school units).

**2. Climate/Culture**

Climate/culture represents a general psychological sense or tone present within the school. It includes specific beliefs about students and about instructional approaches that may be shared by teachers to form a culture of beliefs about students or subgroups of students and about the teachers' own work and professional experience within the school. Climate/culture also includes the beliefs of students about their own instruction, their potential for success, and their own experience within the schools.

**3. Management/Governance**

Management/governance refers to the manner in which decisions are made within the school and to the participants in the decision-making. Collaboration among teachers for the purposes of sharing information about students and instruction and about school goals is also included here as an important component describing the school system.

**4. Linkages with Parents/Community**

Linkages with parents/community refer to linkages established with resources outside of the school. Although parents are considered a primary resource, others that exist within the community can be equally important. For example, linkages with businesses, ethnic or cultural organizations, community youth organizations, social services agencies, etc., develop not only opportunities for specific resources that can benefit the school but also support for the school.

**5. Student Instructional Experience**

Ultimately, all changes within a school should benefit students through improving the students' instructional experience. Student instructional experience refers to a number of variables that describe the nature of the instruction received by the

**Figure 4-2**

**The Content of Change Efforts in Comprehensive School Programs**

Focuses of Change	Goals of Change			
	Coherence	Challenge	Community	Concern
Structure and Characteristics				
Climate/Culture				
Management/Governance				
Linkages with Community/Parents				
Student Instructional Experience				

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student. This includes the nature of the curriculum (e.g., content, level, and pace of its presentation, etc.), the nature of the instructional approach used in the classroom (e.g., native language use, small group instruction, the types of instructional tasks), the structure of the program received (e.g., departmentalized, pull-out, self-contained class), among others. A description of the instructional experience of students must take a student-level focus in identifying services received (actual sets of services received by individuals) rather than a school-level focus (programs or services offered by the school).

#### D. Summary

Our framework for defining the content of change, as represented in Figure 4-2 comprises four goals of change and five areas of focus of the change. In the next two chapters we discuss research and findings relevant to each of the two types of change components. Chapter 5 presents findings related to the goals of change. Chapter 6 presents findings on the areas of focus of change.

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## CHAPTER 5

### THE GOALS OF CHANGE

#### A. Introduction

To describe and track change, we need to be able to describe what it is that is changing. We have defined four goals of change for comprehensive school programs for limited English proficient students. In describing how a school might approach the definition of a change effort, the model suggests that initially the school would review the current status of the school in terms of achieving each of the four goals and identify those areas in which the school's performance should be improved. For example, coherence may be weak even though performance on the other three goals is fairly strong. Or, the school may recognize that efforts are needed with regard to two or more of the goals. The definition of the change effort would then involve determining which aspects of each goal will be selected as more specific objective(s). Similarly, a research study of change within schools would identify the goals of the change being carried out, and identify the more specific objectives that the school has defined for addressing that goal.

Within the framework for the description of the content of change we have outlined four goals of Comprehensive School Programs: coherence, challenge, community, and concern. Our assumption is that ultimately a school would work toward achieving all four of these goals but that within any specific change effort, only one or a few of these might be identified as goals. The four goals are further discussed in the sections below.

#### B. Coherence

Coherence refers to consistency in the experience of individual students within the school. As defined earlier, coherence can be present in a number of ways. Coherence can first of all be viewed in terms of the nature and level of the content of instruction received by a student across settings. Within any individual school year when the student is instructed in different settings with different teachers, the level of instruction and nature of the curriculum may vary in significant ways. For example, Moll and Diaz (1987) examined the contrast in level of instruction received by the same students in classes in reading in Spanish and classes in reading in English. While in Spanish, students were responding to higher-order questions regarding the content of their reading; in English class, reading was focused on lower-level decoding skills. For example, in Spanish reading, the students were carrying out more complex tasks such as drawing inferences and making predictions based on the content of their reading; this was not occurring in their English reading classes. Moll and Diaz successfully introduced a new approach into the English classes that incorporated use of higher-order cognitive skills as were used in the Spanish reading classes. They demonstrated that these students could benefit from the more challenging instruction within the reading classes in the students' second language.

An important and second form of coherence refers to consistency in the instructional approach utilized across different classroom settings. Instruction is likely to be most effective when students can enter each new setting knowing what is expected of them and understanding their role in interacting with the teacher and other students. Where there is this type of consistency, students do not need to remember different rules for participation in different settings because all share the same norms for teacher and student roles and interaction in instruction. For example, within a coherent program, a student who experiences an "active learning" instructional approach (Lathrop, Vincent, and Zehler, 1993) within a bilingual class would also be given opportunities for active participation within other classes in which he/she is instructed.

A third type of consistency or coherence refers to the flow or structuring of instruction within a typical school day or week for any student. The students' schedule should be structured such that instruction in one area is not disrupted or cut short to provide instruction in a second area (as might be the case, for example, if a student leaves a reading class to attend a special English as a second language or Chapter 1/Title I class). Students need to begin instructional tasks knowing that they can become involved and complete them; teachers need to be able to complete work with a student on activities to their planned end point.

In research on effective instruction, variables related to what we have defined as "coherence" of services have been indicated as critical elements of effective schools and services for language minority students. For example, Carter and Chatfield (1986) reported several characteristics of effective schools for language minority students. They included among these the role of the bilingual program as an integral part of the school, and coordination between bilingual and non-bilingual curricula and materials.

In sum, within a coherent program, the student's instructional experience within a school is characterized by some very basic types of security for the student: security in knowing that the instructional day will be predictable and consistent in terms of the nature of the instruction received, in terms of the rules for interaction and participation in carrying out academic activities, and in terms of knowing that instruction in any one area will not be disrupted to begin instruction in another setting. Of course, coherence in and of itself is not necessarily good; coherence or consistency in use of poor instructional approaches would not be a desired achievement for the school. However, if the school also provides an appropriately challenging experience for students, then coherence should serve to magnify good practices within the school.

### C. Challenge

Challenge refers to the nature of instructional content, concepts, and skills that are the focus of instructional activities. Too often, the level of instruction for minority students, including language minority students, is at the level of lower-order, basic skills, and the curriculum offered does not provide opportunities for more advanced course work or for instruction focused on higher-order cognitive skills (e.g., Oakes, 1990; Minicucci and Olsen, 1992a,b).

Yet it is clear that students need an opportunity to develop higher-order skills and in-depth understanding of concepts, whether instruction is in the native language or in English.

Also clear is that students' lack of full proficiency in English does not preclude the use of higher-order academic tasks within instruction that is presented to them in English. For example, the Moll and Diaz (1987) study described earlier also demonstrated that the Spanish language students could be challenged by and could benefit from instruction focused on higher-order skills in their English reading classes. Warren and Rosebery (1990) have provided a similar example of language minority students' successful participation in more challenging instruction within the area of science.

#### D. Community

Community refers to linkages within the school and to linkages outside the school. There is a collegial and collaborative community within the school (including shared decision-making), a shared culture and community among students and staff, and integral linkages between the school community (teachers, administrators), parent community, and business and other community members.

Within schools characterized as a strong community, there is a communication among teachers and other staff, especially among those who work with the same students, to share information on instruction and instructional approaches, to share problem-solving, and to share successes. The school is generally not characterized by strict divisions between programs or departments that serve the same students. For example, a bilingual program is not segregated but is well integrated within the rest of the school (Carter and Chatfield, 1986). The school reaches out to include parents (U.S. Department of Education, 1994), including parents of language minority students (e.g., Violand-Sanchez, Suttan, and Ware, 1991), and also brings in other community and business persons as resources and as further sources of support for students and for the school in general. For example, at a classroom level, community persons with expertise might contribute to instructional thematic units by visiting and presenting to a class (cf., Moll et al., 1990, "funds of knowledge").

Communication is an important support for the building of a strong school community. For example, among students and students with teachers, Garcia (1988, 1991) has noted that effective instruction of language minority students is characterized by a clear emphasis on communication. He notes that in classrooms judged to be effective, instruction involved students communicating with each other and with the teacher for most of the day.

#### E. Concern

Students are not able to learn effectively and to reach their highest level of potential if they enter their classrooms hungry, in poor health, or under other forms of stress. Language minority students are often students from low-income backgrounds and likely to need additional support. The goal of the school to support these students by increasing their

minority students are often students from low-income backgrounds and likely to need additional support. The goal of the school to support these students by increasing their readiness to learn is demonstrated by development of linkages with social services, assistance to families, counseling with students, among other approaches. It is also demonstrated by a consensus among the staff that the physical and emotional health of the students is important so that they assist in identifying students who appear to be in need of these types of supports. One example of schools that make the whole student their focus are those which incorporate social services within their campus, e.g., access to a health clinic or to other social services providers.

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## CHAPTER 6

### THE FOCUS OF CHANGE

#### A. Introduction

The description of a change effort not only involves a statement of the goals of the change but also requires definition of the focus of the change activities. In our framework for the content of change, we have defined five areas of focus within the school system (Chapter 4, Section C). These five areas of focus have been identified on the basis of distinctions found within the literature on the nature of change activities. We believe that these distinctions represent useful means of summarizing and examining change efforts within schools.

In this chapter, five areas of focus of change efforts are described. These areas of focus were identified on the basis of research on change, including research on "restructuring", as described in the first section below. Sections C through G present discussion of the five areas of focus we have identified: structure and characteristics of schools, climate/culture, management/governance, linkages with parents/community, and student instructional experience.

#### B. The Description of Change Within Research on Restructuring

Particularly since the mid-80s a considerable amount of research and practice has been carried out under the banner of restructuring. The term restructuring has been used to signal that there is an overall, systematic change in the school and in the school's approach to educating its students. There have been various approaches to definition of restructuring that describe key elements or dimensions of restructuring. These are outlined below.

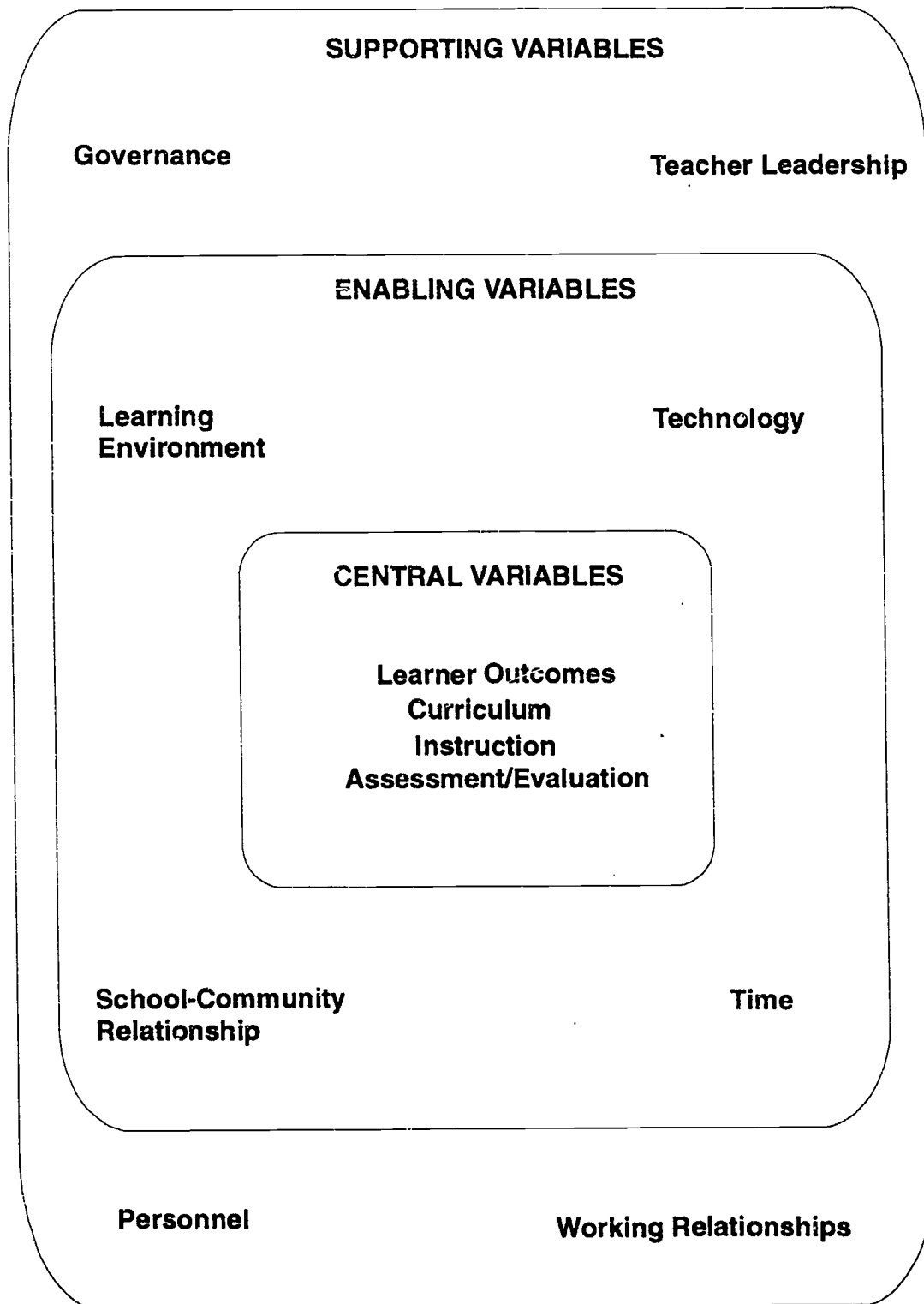
##### 1. Conley's Twelve Dimensions

Conley (1991) has outlined twelve dimensions of restructuring, which are incorporated within three categories of variables: central variables, enabling variables, and supporting variables (See Figure 6-1). The central variables are those that are at the core of the school's instructional process. The central variables include learner outcomes that are defined as the goals of instruction, the curriculum and materials used to present the instruction, and the specific instructional approaches or techniques implemented. Assessment is the means by which the learner's progress toward the stated goals is measured.

The enabling variables either are necessary to or aid in the activities or changes in the central variables. Conley believes that in many cases, schools actually focus on enabling variables more than on the central variables in order to ultimately affect the methods and content of teaching. Enabling variables are the learning environment

Figure 6-1

## DIMENSIONS OF RESTRUCTURING





(which includes the teacher/learner relationship, the grouping of students, the use of experiences outside of the school for learning, etc.); technology (which provides opportunities to enhance the quality and quantity of learning ); school-community relationships (which includes the roles of parents and of others in the community; Conley also suggests that this includes school-social service agency linkages ); and time (which refers to the structure of instructional periods, of the school day or year).

Supporting variables are described by Conley as generally addressing "the organizational conditions of teaching and schooling" (Conley, 1993a, p.110). He defines four supporting variables: governance (which refers to the nature of decision-making within a school, e.g., site-base management, participatory decision-making); teacher leadership (which refers to new roles and responsibilities for teachers, e.g., as mentors, as team leaders or teacher-researchers); personnel structure (which refers to the type of staff present, e.g., professional certificated staff and classified staff and their roles); and working relationships (which refers to contractual relationships between teachers and administrators and boards of education.)

## **2. Building Blocks of Restructuring**

Lieberman and Miller (1990) take a different approach to describing restructuring. In describing the underlying elements of restructuring, they focus first on defining two separate categories of restructuring approaches: those based on principles and those based on procedures. Procedures refer to structural or organizational steps that support or promote steps toward restructuring. For example, providing increased staff development or offering planning time for teachers is an organizational step that provides a structure for and support for teachers becoming more active participants in instruction/organization of the school.

Principles are used to provide frameworks for restructuring. The use of principles allows for and even assumes individual variation in how the principles are translated into specific strategies and practices. This approach sets up core values or beliefs that guide the restructuring effort and that are constant across different specific sites.

Lieberman and Miller identify five key "building blocks" of restructuring:

- (1) Rethinking curricular and instructional efforts in order to promote quality and equality for all students. Lieberman and Miller describe this as the cornerstone of restructuring; it requires a willingness and readiness to question existing practices and to make modifications.
- (2) Rethinking the structure of the school. This building block derives from the assumption that if curricular/instructional changes are to occur, then these will require a change in how schools are organized and administered. Under this building block, Lieberman and Miller specifically refer to the role of the teacher, including teacher participation in school-based management and decision-making.



- (3) Maintaining a two-pronged focus on a rich learning environment for students and on a professionally supportive work environment for adults. This building block cautions that attending to only one side of the teacher/school equation will not lead to effective implementation of change.
- (4) Recognizing the necessity for building partnerships and networks. These partnerships include relationships among schools involved in change efforts for the exchange of insights, practices, ideas.
- (5) Recognizing the increased and changing participation of parents and the community. Any restructuring process must include the meaningful involvement of parents and the community.

Lieberman and Miller describe these building blocks as the "foundation for comprehensive change in our schools." For each building block, they see the necessity of a school defining a plan, a structure, and supports for implementation.

### **3. Fullan's Three Dimensions of Change**

Fullan (1991) has described the multidimensional nature of change. He outlines three key dimensions:

- (1) Use of new or revised materials;
- (2) Use of new teaching approaches or strategies; and
- (3) Possible alteration of beliefs such as pedagogical assumptions or theories that underlie new programs.

Fullan uses these dimensions to explain how the failure of an innovation to take root, or to be utilized effectively, can be better understood. For example, if the effective use of a specific instructional approach assumes a specific belief about learners, but the implementation involves persons who do not accept (or come to accept) these beliefs about the learner, then the approach is not likely to be sustained and/or not likely to be implemented effectively.

### **4. Schools in Restructuring: Four General Areas of Change**

The Center on Organization and Restructuring of Schools conducts research on how schools are restructuring. Its objectives are to understand how restructuring actually is working and to identify just how comprehensive a phenomenon restructuring actually is. Its research has identified four general areas of restructuring (Newmann, 1991; Prager, 1992):

- (1) Student experiences;
- (2) Professional life of teachers;

- (3) School governance, and
- (4) Collaboration between schools and communities.

Based on a survey of some 250 schools, the researchers found that few carry out comprehensive restructuring across all four areas; most schools reported implementing change efforts within the first two areas only (student experiences and professional life of teachers) (Center on Organization and Restructuring of Schools, 1992). There was little found in the way of attention to organizational changes in school management; the researchers suggest that changes in authority or coordination or social or political barriers might inhibit the more comprehensive structural overhaul implied by the last areas.

These separate models of restructuring, although they differ in approach, identify several elements in common. We have based our selection of the five areas of focus of change efforts on key elements found across these four models and identified in other research on school change efforts. Research on the five areas of focus are described in the next sections.

### **C. Structure and Characteristics of the School**

Prior to the early 1970s research on school factors and their relation to student achievement generally found few school-caused effects in comparison to the role played by student background and aptitude. The types of factors examined were most often variables such as school facilities, size, or resources, which overall produced only weak or inconsistent relationships with student outcomes (Anderson, 1982; Centra and Potter, 1980; Coleman et al., 1966; Mayeske et al., 1972). However, other research challenged these findings. For example, research carried out in the years following the publication of the Coleman findings examined high-achieving or unusually effective schools and demonstrated that schools could have an effect (Mace-Matluck, 1987). Later research (e.g., Bidwell and Kasarda, 1980) also revised some of the earlier negative conclusions with findings that specifically showed effects for school-level variables.

While variables that describe the structure and characteristics of the school are often less amenable to change, it is still possible that they can become the focus of change efforts. When they are not themselves the focus of a change effort, they are nevertheless important aspects of the school to describe in any examination of a change effort, since school-level variables may interact with other variables that are directly addressed by a change effort. The following are some of the key variables that can be used to describe the structure and characteristics of the school.

#### **1. Level**

Much of the earlier research on effective schools focused on elementary level schools primarily (Mace-Matluck, 1987; Shann, 1990). However, there is a growing body of literature on the implementation of change efforts within secondary schools. This has

produced greater understanding of the differences between elementary and secondary schools.

**Organizational differences.** Purkey and Smith (1985) showed that secondary schools are organizationally more complex than elementary schools in at least three ways: (1) they are typically larger, with more students, staff, and physical plant, and broader curriculum with a multiplicity of goals; (2) they are politically more complicated, with several administrative layers, such as department heads; and (3) they enroll students who are older, more developmentally advanced, with more diverse educational objectives and longer educational histories.

While general principles of effectiveness can apply to both settings, the organizational differences for elementary versus secondary schools are significant since they may require adaptations in implementation of change and in research variables within studies of change. For example, in place of elementary-level emphasis on the principal as leader, department heads or assistant principals at the secondary level may be more important in setting a climate for success and in motivating for change (Hord, 1984). Thus, the principal in high schools may need to be an effective manager of the several "chefs" within the school to develop the type of "menu" for change that will be successful (Hord, 1984).

**Student differences.** More so than elementary students, secondary students bring prior educational histories. These prior experiences can affect students' attitudes and norms for work and behavior. Students at the secondary level also have broader reference groups, beyond the home and family. These differences can mean that the students will be less passive and more resistant to change and that the change efforts will therefore need to plan for these factors.

**Structural differences.** At the secondary level, students move through a departmentalized schedule, in which they move from teacher to teacher, class to class. This is in comparison to the elementary level where students are with one group and are instructed primarily by one teacher for the majority of the day. The secondary-level school most often does not provide opportunities for a student to "belong" to a specific smaller community as in the elementary grades. However, providing a more stable community in the secondary grades can be an important support for students, especially for recently arrived language minority students. Some change efforts at the secondary level address this need of students by placing them in groups who remain with the same teacher or set of teachers in a "family"-like unit across two or more years of school. Students can feel that they "belong" to a group, and teachers are able to see and appreciate change in students across years.

## 2. Size

Particularly in research that examines secondary schools, smaller institutions appear to have an advantage over larger institutions in creating a sense of community or shared norms and goals (Bryk, 1994). Larger schools are more likely to have more

complex administrative structures. They may comprise a broader range of student groups or tracks, all of which will have implications for how the school is structured organizationally and how it functions. These, in turn, will be possible targets of change efforts or may require adaptations of change efforts. For example, creating separate schools-within-a-school is one means of creating the advantages of a smaller school within a school that is large.

### 3. Resources

Resources can be defined in terms of persons available to the school (including staff, students, parents, and others), materials, and time (Bidwell and Kasarda, 1980). These are discussed below.

**Persons as resources.** Staff, students, parents, and other community members can all be included as school resources. In terms of staff, teachers' skills and backgrounds serve as resources to the school as a whole (and can be distributed differentially within a school). Of special relevance to limited English proficient students would be teachers' knowledge, experience, training related to work with language minority students, teaching within bilingual programs, etc. Other variables include staff attendance (Torres, 1987), percent full-time staff and percent academic faculty (Louis, Marks, and Kruse, 1994). Specific change efforts might be directed toward increasing the skills resources available to the school through staff development programs; for example, staff development could be provided to heighten teacher awareness and understanding of the role of cultural differences in the classroom, to provide for understanding of language acquisition processes and language learning, to assist teachers in identifying students in need of social services.

Students provide resources as well, in terms of language and cultural backgrounds and other experiences that they offer to the school and can share. Another "person" resource is parents where they take on roles and responsibilities within the school or provide services to support teachers or student instruction. In addition, other community members, including businesses, are resources to the extent that they bring skills and services into the school. If the goal of a change effort is to increase linkages with community organizations, for example, the result might be to increase resources in the form of special skills or services brought into the school. For schools serving language minority students, parents and other community members with language skills can be brought into the school to increase its language-related resources.

**Materials.** Materials include books, maps, laboratory facilities, computers, etc. For schools serving language minority students, materials would also include those that are related to the specific language and cultural groups present. For example, books in Spanish available within the library create an important resource for the schooling of Spanish-language students, either for use in the classroom or for use by students and their families at home.

Change efforts may focus on the way in which materials are used within schools. For example, in order to rationalize and most effectively utilize existing resources, a school may make a concerted effort to break down walls between categorical programs through the pooling of resources (for example, allowing sharing of purchased books and materials across programs, or using joint funds to obtain new materials). This may be a significant effort, with possible implications for the development of a broader community in the school, especially when there are several different categorical programs within a school in which all have previously been kept strictly separate.

**Instructional resources/curricula for limited English proficient students.** Access to a curriculum that is equivalent in content and level to that provided to English proficient students is an important issue for all schools. However, at the secondary level, access to instruction for limited English proficient students often presents a more serious problem than at the elementary level. Within secondary schools there is frequently a lack of access to courses that provide more advanced instruction within academic content areas (Minicucci and Olsen, 1992a,b; Oakes, 1990). To help address this problem, schools can offer advanced courses for students, in which instruction is adapted to the language needs of the students. (Doing so requires resources such as staffing and materials resources described above.)

#### 4. Time

Time is also a significant resource and can be described in terms of the simple availability of time and in terms of structure of time. The amount of time available for an activity can refer to the length of the school day, time for academic subjects, time available to students for study within a specific academic area, or time available to teachers for joint planning. In fact, the availability of planning time for teachers is often viewed as a better incentive than monetary reimbursement (Richardson, 1990), and time for meeting and talking has been described as a structural condition necessary for the building of a professional community within a school (Louis, Marks, and Kruse, 1994).

The structure of time might also be included as a means of defining school resources. For example, flexibility in class scheduling allows the allocation of a longer period of time to a specific subject area or project; longer periods support in-depth work by students. Peyton et al. (1994), for example, discuss the importance of time as a resource to pull-out English as a Second Language teachers in implementing a specific instructional approach. They point out that insufficient time allotted can undermine and even preclude implementation of effective instructional activities. The effective use of time has been identified as a key to achieving success within the school (Goldman, Dunlap, Conley, 1991).



## 5. Student Aggregate Characteristics

The student population served by a school is also a basic condition and resource within the organizational context. Students' age, ethnic and language background, level of English language proficiency, family socioeconomic status, and family educational background, among other variables, help to define the school. Additional student variables include mobility, percent limited English proficient, and percent language minority. These student characteristics have implications for what other types of resources are needed and, together with consideration of resources available, will be important elements in determining the nature of instructional programs structured within the school.

The distribution of students to different instructional units within a school (as in tracking or in segregated special programs, such as special education or bilingual education classrooms) is one means of describing instructional experiences of students. Bidwell and Kasarda (1980) make a distinction between student composite attributes as resources helping to define the nature of schooling received by students, and attributes of individual students as student-level inputs. In essence, this approach acknowledges that the level of performance and other characteristics of students present in a class provide an important element of the instructional context to be described for any individual student.

Any change efforts will need to consider what implications the student characteristics have for implementation of the change approach. For example, where there are language minority students present in the school, will all teachers be willing to collaborate and share responsibility or will a bias toward keeping these students in special and separate programs provide a serious barrier to whole school approaches? What types of special change-related activities and approaches or staff-development efforts will be needed given that many teachers will be working with language minority students? How can limited English proficient and fluent English students be given opportunities to work together? What are the best ways to accomplish this? These are the types of questions that change efforts will need to address once the nature of the student population to be served is recognized as a critical element in any change.

### D. Climate/Culture

Culture within organizations has been defined as a shared system of values, beliefs, and norms; as a "congruency of thought" and recurrent and predictable behaviors (Osborne, 1993). According to Osborne (1993) educational culture is an extension of this corporate cultures into the educational setting. Within the effective schools literature, "total environmental quality" (Anderson, 1982) or climate (Brookover et al., 1978) is a key aspect linked to higher student achievement. Climate factors include positive expectations for the students, good administrator-staff and teacher-student rapport, and a general sense of community among students as well as staff (Anderson, 1982; Wynne, 1980). School climate

variables, such as good teacher-teacher relationships, and good student-teacher relationships (Wynne, 1980), were linked with higher achievement outcomes, as were variables such as values and goals of persons and groups within the school. For example, a "constant press for excellence" (Brookover and Lezotte, 1979) and agreement on academic goals, with incentives and praise for achievement, were linked with student success (Wynne, 1980). According to Deal (1990), a key element to successful reform is a renewal of commitment and a "transformation" of cultural values and mind-sets; Deal believes that these are aspects not addressed sufficiently by many change efforts.

The most central dimensions of school climate have been described as "norms of the social system and expectations held for various members" (Brookover and Erikson, 1975, p. 364). High expectations for all students; a clear vision or set of goals, with a focus on instruction; and an orderly and safe environment have been among the characteristics identified as associated with effective schools (Mace-Matluck, 1987). These are included here as climate/culture variables. In addition, we include within climate/culture the presence of collaboration/collegiality among staff; the sense of community overall within the school among teachers, staff, students; social norms and values for students; teacher beliefs regarding students and their instruction; and an ethic of caring.

### **1. High Expectations for All Students**

A supportive and effective climate/culture for students is one in which there is a "press for excellence" for all students consistent with the overall goal of challenge. Lezotte and Bancroft (1985) described effective schools as those in which there are high levels of achievement across all subgroups of students within the schools; i.e., schools in which there was both quality and equity.

### **2. Clear Shared Vision**

The school as a whole, including students and teachers, should share the same vision in terms of goals and objectives and how these should be obtained. The extent to which students who see their school work as related to their future has been linked with growth in achievement (Ainley, 1994). This would be one indication of a sense of purpose and vision for the school at the level of students. School staff who share a common vision will be able to guide decision-making through that vision.

### **3. Orderly and Safe Environment**

The presence of an orderly and safe environment has been noted as a characteristic of effective schools in several studies (Mace-Matluck, 1987). Related to this characteristic of the school climate overall, other researchers have noted (e.g., Lathrop, Vincent, and Zehler, 1993) that a predictable and "safe" environment in the classroom—one in which the students understand routines, rules, and procedures because these are clear, generally made known, and consistent—is also important. In particular, for language minority students, knowing what to expect and knowing the rules for participation provide an important basis that supports learning.

#### **4. Collaboration/Collegiality**

An important aspect of school climate/culture is the extent of collaboration and collegiality among staff. This is promoted by communication and sharing among the staff and is often supported by a principal who provides support for teachers to meet and talk. Teachers who share respect for each other, who value each other's input, and who support one another build a sense of community that provides an important basis for school improvement efforts.

A strong professional community within a school has been linked with positive effects on student engagement and achievement (Newmann, 1994). However, Newmann has noted that thus far such findings have been based on high school data only. (There will be research data available related to other levels in fall 1995.) Sharing and collegiality among staff members helps to sustain change (Simpson, 1990); also, the culture of collegiality among staff is linked with management/governance variables, such as teacher participation in decision-making and working as a team.

#### **5. Social Norms and Values**

Prosocial behaviors, such as helping others, getting along and making friends across racial and ethnic groups, and showing respect are important school norms. Shann (1990), in a study of middle schools, noted significant differences among schools in the degree to which prosocial behaviors were present. However, Shann also noted that an ethic of caring (see below) was apparently necessary in conjunction with prosocial behaviors for there to be an effect on student achievement.

#### **6. Teacher Beliefs**

Addressing teacher beliefs can affect classroom practice, and individual teacher change is affected by the overall climate and culture of beliefs within the school (Richardson, 1990). Also, teacher beliefs about their own efficacy can be affected by the outcomes of new practices and may interact with the specific types of instructional approaches used.

Beliefs about the characteristics of students, about the nature of learning, and about the validity of different instructional approaches will affect teacher practices. Where teachers share similar understandings about instruction, they are likely to use similar practices in their classrooms. However, it is not always necessary to change beliefs first in order to introduce new practice (McLaughlin, 1990). Successful practice of innovations can lead to change in beliefs (Fullan, 1991; Richardson, 1990), thus changing the climate/culture within a school.



## 7. Ethic of Caring

A concern with the development of a caring environment is one that deserves careful attention. According to Shann (1990), an "ethic of caring" promotes respect, affiliation, and commitment among adults and students and is a variable that may be especially important to at-risk students. McLaughlin (1994) attributes the effects of the restructuring efforts reported by Lee and Smith (1994) to the way in which those practices supported valued connections between students and adults within the school setting.

The climate/culture can be changed through change efforts that address beliefs and understanding on the part of staff. For example, ongoing staff development for all teachers that provides information on language acquisition, on student diversity and its role in the classroom, and on effective practices in working with diverse students (e.g., Faltis, 1993) can play an important role in developing a school-wide climate or culture supportive of limited English proficient students.

For schools serving limited English proficient students, a particularly relevant concern is whether there is one school climate or multiple climates among various sub-units of instructional services within the school, e.g., in special instructional programs for limited English proficient students versus regular instructional programs. In other words, it is important to be aware of the possibility of multiple layers or units within the school, each of which may have different sets of norms and expectations. This suggests an issue related to "coherence" of climate within instruction received by limited English proficient students.

## E. Management/Governance

Research on effective schools identified principal leadership and principal involvement in instruction (Brookover et al., 1979; Edmonds, 1979; Ellett & Walberg, 1979; Rowan et al., 1983) as consistently linked with student achievement (Bell, 1979; Ellett and Walberg, 1979). Within the more recent efforts to improve schools, the nature of school management, the forms of governance, and the type of leadership have also received considerable attention. In this more recent work, the focus is on decentralizing decision-making, relying more on site-based management, and increasing participation of staff in decision-making (e.g., Darling-Hammond, 1992; David, 1989; Goldman, Dunlap, and Conley, 1991).

Two forms of management have been described as a means of summarizing distinctions found among schools. Rowan (1990) has pointed out a key distinction between "control" versus "organic commitment" (Rowan, 1990) management and decision-making strategies. A control strategy represents a top-down structure, in which administrators make decisions and provide specific directives and requirements to the teachers (e.g., a strong and directive principal). In an "organic" or "commitment" model there is a bottom-up structure, in which teachers are involved as professionals making decisions together with administrators. In this model, the principal is still a leader but does not lead in the traditional sense of the term;

instead, the principal becomes a "facilitative" (Goldman, Dunlap, and Conley, 1991) leader, a supporter of the networking and joint decision-making by teachers.

The success of efforts to involve teachers in decision-making is linked with the nature of the decision-making: What areas of decision-making are opened to teachers and school staff? What resources do these decisions actually control? (Miles and Seashore-Louis, 1990; David, 1989; Louis, Marks, and Kruse, 1994). Communication and decision-making among school staff will not become a sustained mode of operation unless some real purpose and effect can be observed. In examining teacher involvement in decision-making, it will be important to look at how teachers are involved, the time devoted to their involvement, and the areas of decision-making in which they are involved (e.g., budget, resources, staffing) (Louis, Marks, and Kruse, 1994).

Thus far the classroom impact of school-based decision-making and teacher participation in decision-making is not clear (Louis, Marks, and Kruse, 1994). Also, actual restructuring in terms of management and governance has not been as prevalent as other forms of school reform efforts within schools that define themselves as "restructuring" (Center on Organization and Restructuring of Schools, 1993).

#### **F. Linkages with Parents/Community**

As one final focus of change within a school, we include specific linkages and forms for interaction with the community and parents (e.g., U.S. Department of Education, 1994). Examples are parent sessions that assist parents in understanding the school, linkages with community social services agencies and community youth organizations, and school-business partnerships. Through coordination with the community and parents, the school can increase consistency across the home/school approaches to working with student problems and increase resources available to children and their families.

For example, a parent/community/school task force could work to develop common approaches for resolving problems and identify ways in which all could contribute to the solutions. Or, more challenging instruction for students can be supported through community linkages that offer experiences outside the classroom, e.g., opportunities to observe processes within a water treatment plant when the class has been researching water and its properties. Another option might be in the form of developing apprenticeships with local businesses where students can utilize skills they have developed in school.

To assist students for whom health, economic or other needs are identified, the school can reach out to establish linkages with community social services, volunteer organizations, etc., to ensure that students and their families can be linked with sources of help. Schools, in fact, are often used by hospitals, courts, and other social agencies as sources to help target students in need of special programs of assistance (Shann, 1990). Another type of linkage might be as simple as the principal or teachers visiting parents and members of the community, learning about their needs, and developing solutions that work to help both the community and the school (Lathrop, Vincent, and Zehler, 1993).

## **G. Student Instructional Experience**

The impact of any change effort cannot be known without having a very clear understanding of the instructional experience of students within that school. Simply stated, this requires a description of the instructional services received by students, a task likely to be more complex at the secondary than at the elementary level. However, in both cases, understanding the instructional experience of students requires a student-level focus in describing services received, rather than a school-level focus.

The distinction between a student-level and a school-level focus was made clear in the Descriptive Study of Services for LEP Students (Fleischman and Hopstock, 1993). In this study, schools were contacted to learn what types of instructional services were provided to limited English proficient students, with services defined as each unique combination of services that an individual student might receive. For limited English proficient students, this might include regular instruction in mathematics, bilingual instruction for language arts and social studies, English as a Second Language services, and regular music and physical education classes. However, researchers noted that in many schools, personnel found it very difficult to identify the combinations of services likely to be received by individual students; they were more prepared to provide information on the nature of different types of classes or services provided in the school.

The definition of student instructional experience within an individual school most often will actually comprise several different possibilities. For example, there may be tracking of students into different sets of classes by ability; for language minority students, different levels of proficiency in English are likely to determine different sets of services (e.g., more proficient students will spend more time in regular classrooms for more subjects). A full description of the instructional experience of students should therefore include the structure of the program (classes, settings, groupings used), the curriculum received, nature of instruction (including language and instructional approach), and the student characteristics or groupings of students.

### **1. Structure**

Particularly for language minority students who are not proficient in English, schools may provide a variety of service structures. For example, within small districts with only very few limited English proficient students, schools may share portions of a full-time English as a Second Language (ESL) teacher's time. The instructional experience for limited English proficient students might consist of regular classroom instruction for all subjects, with a pull-out class for ESL instruction, either on a fixed or flexible schedule. In other schools, students may stay within a self-contained classroom for bilingual instruction throughout the day, or they may participate in a two-way bilingual program. The structure of instructional experience would include the types of classes or instructional settings, the scheduling and amount of these, and the specific combinations of services received by individual students. Some teachers assign classroom "buddies" to assist limited English proficient students—an in-class

"structure". A "buddy" is often a peer of the same language group who helps the newer student become familiar with classroom rules and procedures; the "buddy" might also serve as a tutor or translator. Related to this informal model is a formal partnering program, Partners in Valued Youth (Robledo et al., 1990). In this program, middle school students serve as tutors for elementary grade students.

The structure of a student's instructional day—how all of the different instructional settings are scheduled and coordinated—is an important indicator of a student's instructional experience. When students receive a variety of services in different settings, teachers are not always sure which students will be present with them in the classroom at a specified time (Hill & Kimbrough, 1981) and there is greater likelihood of fragmentation or disruption of instruction. In fact, current change efforts in compensatory education and in special education reflect a concern to decrease fragmentation of instruction (e.g., Ascher, 1988; Passow, 1989; Loucks-Horsley and Roody, 1990).

Attending to the structure of a student's daily schedule therefore would be one means of addressing coherence. That is, in terms of the student's movement from one area of instruction to another, the change effort would involve examining the instructional periods scheduled for the student to ensure that students are guaranteed the opportunity to participate in the planned instruction in each class, and that there is a predictability for both teachers and students regarding the schedule of instruction.

## 2. Curriculum

The nature of the curriculum can be described in terms of content, level of materials, pace, depth versus breadth, integrated content versus separate subject areas, and student- and/or teacher-directed content. The relationship and comparability between the curriculum for limited English proficient students and the curriculum for other students would be an important component of describing the curriculum received by limited English proficient students. As Minicucci and Olsen (1992a,b) have reported, the curriculum received by limited English proficient students is often limited in range of subject areas and in level of coursework.

Instructional changes designed to promote the development of higher-order cognitive skills are important means of presenting challenging content to students. For example, Warren and Rosebery (1990) worked with limited English proficient students who had previously only been learning science at a very low level of skills, as in rote learning of scientific terms. These students did not gain much understanding of science concepts or scientific modes of thinking. Through their work with these students, in conjunction with the content area and ESL teachers, they instituted a new approach to instruction that involved students learning to state

hypotheses, developing evidence, and interpreting data to answer questions using the scientific method.

The content of instruction can be designed to relate to and build upon the students' current knowledge base by bringing elements of the different students' backgrounds and culture into the curriculum. Moll et al. (1990) have described one such approach, through utilization of the "funds of knowledge" available within the local community. Bringing the students' community into the classroom helps students to build understanding and appreciation of each others' cultures. Finally, efforts to address the coherence of a program would focus on curriculum across programs and across grades to ensure consistency across programs and articulation across grades.

### **3. Nature of Instruction**

The instructional experience received by students would also be characterized in terms of the language used for instruction, opportunities for language use, and the instructional approach used. For language minority students, in particular, the description of instruction would include close attention to the nature of instructional language, including the use of the student's native language, but also focusing on opportunities for language use, and the nature of these opportunities (e.g., primarily routine, short, "expected" or formulaic responses versus opportunities to use language to negotiate content area meaning). Description of the use of language within instruction also should include the nature of the teacher's communication with the student, including whether the teacher uses the student's native language, adapts English language use to the student's level of ability, or uses standard English. Also, the teacher's use of repetition or paraphrasing or contextual support are aspects of instructional language use, as are the nature of question asked and the nature of discussions teachers hold with students.

The nature of instructional tasks and of the interaction between teacher and student is an important component of the description of instructional approach. Identifying the roles and responsibilities of teachers and students within instructional tasks, indicating the degree to which instruction is student-centered or teacher-centered, for example, offers important perspectives on the teacher-students interaction.

For example, cooperative learning approaches have been promoted as important forms of instructional tasks. Cooperative learning tasks provide opportunities for contribution by all students to the problem at hand through their sharing of information and skills. The implementation of a cooperative instructional approach must be carefully structured by the teacher to ensure that all students contribute and have the opportunity to share, and research would need to examine the extent to which all students do participate. Research is limited on limited English students' participation in cooperative learning approaches. However, Jacob (1994) reports that limited English proficient students do participate in cooperative groups and that they both help out other students as well as receive help themselves. Thus, in terms of instructional experience, implementation of a cooperative learning approach is one



example of an instructional approach which provides a means of increasing communication for limited English proficient students on meaningful topics with other students (including fluent English speakers). Effective implementation of this type of approach, however, would be based on teachers' skills and their beliefs that participation in cooperative groups supports the learning process for language minority students.

Often, cooperative approaches are used when students are involved in student-directed problem-solving tasks, or "authentic" learning tasks (Newmann and Wehlage, 1993). In these types of approaches, students are active participants in their own learning and teachers serve as facilitators of that learning.

#### **4. Student Characteristics/Groupings**

Students may be assigned into homogeneous or heterogeneous groupings, or tracked according to academic level, or assigned into classes that comprise limited English proficient students versus primarily fluent English speakers. These different groupings constitute important aspects of individual student's instructional experience. The characteristics of other students with whom the student is instructed would be expected to interact with the various instructional approaches used and could play a role in the success of specific change efforts directed toward instructional approach and instructional activities.

### **H. Summary: The Description of Change Efforts**

The description of change efforts has been presented within this chapter in terms of five areas of focus. These areas of focus in conjunction with the four goals of change presented in Chapter 5 together comprise our model for describing the content of change. Figure 6-2 presents this model (introduced earlier), with examples of change efforts included.

Using this model as a means of describing change, it is clear that change efforts directed toward a specific goal can vary considerably. However, if we try to define the efforts in terms of the primary focus of the change activities (e.g., governance versus climate) directed toward a particular goal, we may be able to identify some general principles regarding which types of efforts are likely to be more effective.

The description of the content of change in terms of the goals and areas of focus addressed by change activities, may make it possible to identify underlying general principles for successful change across a number of more specific instances of change efforts. Such a principle might state, for example, that activities directed toward one area of focus, perhaps climate/culture, should usually precede activities directed toward a second area, perhaps student instructional experience. Or, patterns of interaction might be identified among the areas of focus that can guide future change efforts. For example, if it is recognized that activities directed toward management/governance are best supported by specific school structures/characteristics, these can be taken into account in planning implementation.

Figure 6-2

The Content of Change Efforts in Comprehensive School Programs

Focuses of Change	Goals of Change			
	Coherence	Challenge	Community	Concern
<b>Structure and Characteristics</b>	· school within a school	· development of advanced level courses with access for all students	· after-school academic and non-academic group activities	· same teacher and students in "family" for two or more years.
<b>Climate/ Culture</b>	· all teachers are given training in second language acquisition, culture, instructional activities	· emphasis in school on high level of achievement for <u>all</u> students	· school shares its problems and achievements with local community to obtain support	· sharing of information on needs present in school · positive approach to problem resolutions and role of all staff is important
<b>Management/ Governance</b>	· teacher work groups to coordinate student schedule	· staff discussing guidelines for student placement in advanced level coursework	· teachers meet regularly to share information and planning	· community/family representative meets with principal and teachers to identify/address needs of families of students
<b>Linkages with Community/ Parents</b>	· coordination with community representatives on strategies to address local problems, promote student goals	· opportunities for instruction related learning · experiences, internships in community · local apprenticeships for students	· opportunities for school staff to meet and become familiar with other organizations in local community	· coordination with parent/community resources to address student/family needs
<b>Student Instructional Experience</b>	· articulated curriculum · student-level scheduling	· application of knowledge in "authentic" learning · higher-order cognitive skills	· utilizing community "funds of knowledge" in classroom instruction	· providing "buddy" in class · concern for others integrated into the curriculum

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**PART III**

**UNDERSTANDING THE PROCESS OF CHANGE**

## CHAPTER 7

### A FRAMEWORK FOR DESCRIBING THE PROCESS OF CHANGE

#### A. Introduction

In this chapter we present our framework for describing the process of change in a school. Implicit in our framework is the idea that change is continuous and that any study of change will need to recognize that schools will change even in the absence of a clearly articulated model for change. When a model for change does exist, however, there are certain stages and characteristics of the change process that can be systematically studied.

Our framework for describing the process of change includes three major stages and six key characteristics of the change process. In the sections below, we briefly describe these stages and characteristics and discuss how they relate to each other. In the chapter which follows, we present some of the research findings on the process of change and provide more examples of key variables relating to these stages and characteristics.

#### B. Stages of the Change Process

A number of analysts have described different stages in the change process. They have referred to these stages as "steps," "phases," or "stages," and have suggested different numbers of stages and different names for those stages. In general, however, three stages are most often identified: (1) initiation (mobilization, adoption); (2) implementation (initial use); and (3) continuation (institutionalization, incorporation, routinization).

##### 1. Initiation

Initiation is the process resulting in a decision to implement a change. The initiation stage is typically defined as the period between when a decision is made to proceed with a change and when all or most of the planned change elements are introduced into one or more settings. The focus during the initiation stage is on mobilizing resources for the change, developing support for the change among the relevant participants, and planning specific activities or interventions to produce the planned change.

##### 2. Implementation

Implementation is the experience of putting a reform or innovation in place with the expectation that other changes will occur. The implementation stage is typically defined as the period in which all or most of the planned change elements are in place in one or more settings. The focus during the implementation stage is on using the planned strategies to implement change, expanding the scope of the change effort, and examining the outcomes of the change.

### 3. Continuation

Continuation refers to whether a change is institutionalized or disappears. The continuation stage is typically defined as the period after a decision is made to expand an innovation on a system-wide basis. The focus during the continuation stage is on institutionalizing the change through the training of new leaders, the development of standardized procedures, and the integration of the change into existing organizational structures. It should be noted that many change efforts do not become institutionalized, but elements of the change may be assimilated by individual teachers or groups.

Obviously, this division of the change process into stages oversimplifies the complex developmental histories of most change efforts. The stages may overlap, and there may be multiple change efforts operating on different schedules. However, the differing events which analysts describe for these stages strongly suggest that a framework for describing the process of change include different research strategies for the different stages.

### C. Characteristics of the Change Process

In addition to describing the stages of the change process, a framework for describing change also has to describe a number of characteristics of the process. We have identified six characteristics which we believe are important to the framework:

- The context for change;
- The participants in change;
- The scope of the change;
- The strategies for change;
- The organizational outcomes; and
- The student outcomes.

#### 1. The Context for Change

The organizational and social environment into which a change effort is directed is the context for change. It may include such factors as community attitudes toward specific educational approaches, existing organizational structures (e.g., academic departments), and grade levels served by the school. Typically the term "context" refers to variables which are not directly related to instruction and which are not thought to be part of a change effort. However, some approaches to restructuring have attempted to influence "context" variables either directly or indirectly. For example, efforts to create "schools-within-schools" have attempted to change the student experience of school size, which is normally considered to be a context variable.

## **2. The Participants in Change**

Who participates can vary significantly depending on the nature of the change effort. The change leaders can come from various levels, from district administrators to school administrators to teachers. The participants in change are also likely to differ across the different stages of the change process. The roles of district and school administrators, for example, are particularly important at the continuation stage.

## **3. The Scope of the Change**

Scope refers to the breadth of the change effort at a particular point in the change process. The scope of change may be defined in terms of the number of participants involved, the number of innovations implemented, and/or the numbers of goals and areas of focus addressed by the change. As with other characteristics of the change process, the scope of the change will likely vary across the stages of the change process as the numbers of participants, numbers of innovations, and numbers of goals and areas of focus addressed increases over the developmental history of the process.

## **4. The Strategies for Change**

Strategies are based on the underlying assumptions concerning how changes are best implemented in organizations. For example, many change efforts are based on the assumption that changing the culture and attitudes within a school is a necessary first step in changing classroom practice. Other change efforts are based on the assumption that behavior changes often can and do precede changes in attitudes and beliefs. Depending on the strategy employed, the activities within specific stages of a change process will be very different.

## **5. The Organizational Outcomes**

All of the various changes in the operation of a school system which result from a change effort are referred to as organizational outcomes. These may include changes in policies and procedures, changes in the interpersonal relationships within a school, Changes in linkages with parents, changes in student instructional experience, etc. These outcomes vary both in terms of whether they are direct or indirect consequences of the change model as planned and in terms of whether the outcomes relate specifically to student services or to other aspects of the school organization.

## **6. The Student Outcomes**

Student outcomes are assumed to be the end products of all efforts. Student outcomes include those relating to student achievement of instructional objectives, those we define as relating to student effort in achieving objectives (e.g., variables such as attendance, student engagement, goals for further education), outcomes

**Figure 7-1**

**The Process of Change**

**Characteristics of the  
Change Process**

Context for Change

Participants in Change

Scope of Change

Strategies for Change

Organizational Outcomes

Student Outcomes


Initiation

Implementation

Continuation

**Stages of the Change Process**

relating to student readiness to learn (i.e., good health and nutrition, other non-academic needs), and outcomes relating to native language proficiency and English language proficiency. Defining the appropriate student outcomes of a change effort would appear to be straightforward, but it is often one of the most difficult elements in defining a framework for a study of change.

#### D. Describing the Process of Change

The three stages and six characteristics of the change process are presented as a matrix in Figure 7-1. We use a matrix because we believe that the key characteristics of the change process vary across the different stages. We believe that this matrix provides a framework to guide the design of a study on school change.

In the chapters which follow, we describe some of the research support and specific variables which underlie this framework. In Part IV of this paper, we summarize and integrate the frameworks to describe the content and the process of change.

## CHAPTER 8

### THE STAGES OF THE CHANGE PROCESS

#### A. Introduction

As noted in Chapter 7, current research generally relies on a three-stage model to describe the flow of the change process. The three stages are initiation, implementation, and continuation. These stages are summarized below, focusing on variables that researchers have highlighted as important when studying the process of change.

#### B. Initiation

Initiation is the process resulting in a decision to proceed with implementation of a change. Fullan (1991) identifies the following factors associated with initiation:

- Existence and quality of innovations;
- Access to innovations;
- Advocacy from central administration;
- Teacher advocacy;
- External change agents;
- Community pressure, support, or apathy;
- New federal, state, or local policies and funds; and
- Problem-solving and bureaucratic orientations.

Fullan suggests that the order of the factors is not important but different combinations are; for example, teacher advocacy combined with advocacy from central administration would be different from teacher advocacy combined with external change agents. Here, we group these factors and discuss related variables drawn from some key studies of change.

##### 1. Nature of Innovation

The first two factors, the existence and quality of innovations and access to innovations bear on the nature of an innovation or potential change. According to the Rand Change Agent Study (Berman and McLaughlin, 1974), characteristics of innovative projects that may be particularly significant in deciding whether or not to initiate a change included:

- Perceived educational objectives, project techniques, and strategies;
- Perceived personal consequences; and



- Perceived institutional effects relating to:
  - centrality (degree of displacement of central and routine behavior);
  - consonance (fit between perceived educational goals and practices in the innovative project and perceived current goals and practices); and
  - changes in resource allocation.

Most of the research regarding access to innovations has assumed a lack of access and thus has focused more on the delivery side, for example, examining the characteristics of successful change agents or looking for ways to facilitate documents transfer. House (1976), however, suggested three measures that could serve as indicators for access to innovations or information about them: (1) the amount of interpersonal contact among staff within and across roles; (2) the presence of incentives/disincentives within the school district for innovation; and (3) the extent of access to outside personal contacts (e.g., professional organizations.)

## 2. Advocacy for Change

In the views of those who have studied education organizations, change does not just happen; someone either inside or outside the organization has to serve as the advocate of the change. In some cases advocacy could be policy mandates from a higher level of government; in others it may take the form of a grassroots effort by teachers. What is assumed in educational change is that someone or something must give the organization a push to get it to change. Fullan (1991) listed five sources for that push: (1) advocacy from central administration; (2) teacher advocacy; (3) external change agents; (4) community pressure, support, or apathy; or (5) new federal, state, or local policies and funds.

One of the findings from the Change Agent Study was that the nature or content of an innovation was usually less important for its eventual incorporation or rejection than how it was initiated and implemented. A key factor in initiation was the role or position of the individual(s) who were its primary advocates. The Change Agent Study suggested that initiation of mandated changes would be resisted, at least passively, without local advocates. However, McLaughlin (1990) revised that assessment in later years because of the widescale acceptance and implementation of changes in federal education acts mandated by Congress, often without local support.

## 3. Organizational Style

Another aspect of initiation that is considered important is the style or culture of the organization, including the nature of its response to external policies and funds. Several characteristics of organizational style are associated with formation of effective advocacy groups, which in turn is related to successful initiation of change. Fullan (1991) describes this factor using a combination of terms with almost opposite connotations; he calls it "problem-solving and bureaucratic orientations." House (1976) lists three important characteristics of organizational style: (1) deformatization,

i.e., low emphasis on bureaucratic standards and procedures; (2) decentralization, i.e., power and decision-making is dispersed; and (3) unstructured role definitions, sometimes referred to as high boundary permeability.

The Change Agent Study concluded its analysis of change by relating different patterns of behavior at each stage with behaviors at subsequent stages. For initiation, they found one variable to be most significant in explaining subsequent behaviors, i.e., whether the primary motivation for initiating a change was opportunism or problem-solving (Berman and McLaughlin, 1978b). When opportunistic motivations dominated, e.g., where the motivation was to take advantage of soft money or to enhance an individual's reputation, the innovation tended to founder during implementation and not be continued. Innovations that were adopted to solve problems were implemented more smoothly and were continued in some form. Other characteristics of the initiation of an innovation that were found to be significant for later stages included the substance and scope of the change and the choices made about implementation strategy (Berman and McLaughlin, 1975).

### C. Implementation

Implementation is the experience of putting a reform or innovation in place with the expectation that change will occur. The complexity of the change process has resulted in researchers looking at implementation in two ways. The first involves listing key factors related to implementation success; the second lists the main themes of implementation success. Fullan (1991) notes the benefits of each method: "The former has the advantage of isolating and explaining specific roles; the latter is more likely to capture the dynamics of the change process" (p. 67).

In line with the first approach, the key factors affecting implementation include the characteristics of change (e.g., needs, clarity of goals and means), local characteristics (e.g., social and organizational conditions), and external factors (e.g., mandates). Such factors are interactive and all simultaneously play a role during the implementation process of any educational change.

As for the second way of looking at implementation, in recent years there have been a number of studies (Louis & Miles, 1990; Marsh, 1988; and Wilson & Corcoran, 1988) that describe the main themes in successful change in educational organizations. Their message is clear that a number of strong themes in combination make a difference in successful implementations. Fullan (1991) provides a list of themes adapted from Louis and Miles (1990) and adds one of his own:

- Vision building, including a vision of the school and a vision of the change process;
- Evolutionary planning or adapting change to fit a specific situation;
- Initiative-taking and empowerment;

- Staff development and resource assistance;
- Monitoring/problem-coping; and
- Restructuring.

According to Fullan, all six themes must be present during the implementation stage for substantial change to occur. The themes provide a dynamic and powerful image of the complexity of the implementation process for change.

Findings from the Rand Change Agent study also stress the complex nature of the implementation process. Information collected through case studies of the implementation of innovative projects indicated that the projects changed through time as they were adapted to the unique aspects of the local situation and that the local situation adapted to fit the requirements of the new project. This process of what they termed mutual adaptation lies at the heart of successful implementation. Strategies they found to promote mutual adaptation included:

- Use of concrete, teacher-specific, and extended training;
- Provision of classroom assistance from project or district staff;
- Providing opportunities for teachers to observe similar projects;
- Holding regular project meetings focused on practical problems;
- Encouraging teacher participation in project decisions;
- Local materials development; and
- Principal participation in training.

In contrast, unsuccessful implementations were characterized by nonimplementation (i.e., existing only "on paper") or cooptation, where something was implemented under the umbrella of the innovation, but it was not the planned innovation. Ineffective implementation strategies included:

- Use of outside consultants;
- Use of packaged management approaches;
- Preimplementation training on a one-time basis;
- Paying teachers for training;
- Emphasizing formal evaluation (particularly outcome evaluation); and
- Attempting to implement comprehensive projects (i.e., covering multiple schools, subjects, grades, etc.) (Berman and McLaughlin, 1978a).

The Change Agent Study also highlighted the importance of looking at the complexity of the innovation, its "ambitiousness" (i.e., the level of "extra effort" needed), and the goals of the new project (Berman et al., 1977). Complexity, unlike comprehensiveness, was not necessarily related to ineffective implementation; in fact complexity could inspire teachers and others to work harder at the new project. In that way, complexity is tied to ambitiousness. One of the study's unexpected findings was the apparent willingness of

teachers to spend time and energy implementing a new project if they are convinced of its value. Project goals are important because they play a role in convincing teachers of the importance of the project (which has a direct effect on implementation), and they provide conceptual clarity, which is developed through mutual adaptation.

As a stage in the change process, implementation leads to one or more decision points that will structure its continuation fate. Those decisions are influenced by the perceptions of participants and observers about the effects of the implementation not only on its targets (e.g., students) but also on other participants. These outcomes of the implementation stage are assessed at the school level and may involve factors such as: (1) the relative extent to which participants believed that project goals were achieved (i.e., perceived outcomes); (2) the type and extent of change in teacher and administrator behavior as perceived by the participants (i.e., changes in behavior); and (3) the extent to which implementation followed project design (i.e., fidelity of implementation) (Berman et al., 1975).

#### D. Continuation

Continuation refers to the institutionalization of change. Caution is noted in the meaning of continuation. For example, a school district may decide to discontinue a project but the teachers may have assimilated it; in effect, the very real continuation of the project may be officially overlooked. Fullan (1991) identified a number of factors that affect whether a change is institutionalized or disappears, including:

- Resources for staff development;
- Instructional staff support;
- Interest and support at the district level; and
- Principal support.

Continuation of a project could range from assimilation without any formal local commitment to a conscious decision by a district to commit resources and extend the project to other schools. The decision to continue a project is typically based on whether it was perceived as successful, affordable, important to district priorities, and politically acceptable (Berman and McLaughlin, 1975).

The decision to continue or discontinue an innovative project is not the final stage of the change process. For one thing, that decision generally takes place at the district level, but practices take place and become part of the routine within classrooms. For another, it is not clear that final continuation decisions are necessarily ever made, except in the cases where a project has been large enough to be widely watched or expensive enough that it is noticeable in budget hearings. Many innovations may simply be implemented on a small scale and never be formally resolved. Even when decisions are made, their intent may not be carried out. A project may be continued in name, for example, but be provided only a fraction of the resources from local funds that it needs once grant funds run out. As noted earlier, a project may even be discontinued at the district level but remain operational in one

or several classrooms or schools where a group of teachers or principals remain convinced of its value.

A term frequently used for project operation in some form following the continuation decision is institutionalization. Activities, practices, and even organizations can be considered as more or less institutionalized, and there are several dimensions along which institutionalization can be defined and measured. Some of these dimensions include:

- Duration (i.e., relative permanence of the activity within the organization);
- Formality (i.e., existence of written rules or titled roles associated with the activity);
- Awareness and acceptance of the activity by authorities outside the organization; and
- Development and maintenance of staff expertise to continue the activity (through hiring practices, commitment to training, and behavior monitoring).

#### **E. Issues Related to the Stages of Change**

According to Fullan (1991), the single most important idea resulting from this model is "change is a process, not an event" (p.49). The three-stage description of the process of educational change may involve numerous complications. First, many variables must be considered at each stage, and they may indicate different directions for the change. Second, the change process is not linear in that a decision made at one stage may unmake a decision made at a previous stage. Third, factors directly related to the characteristics of the desired change, including the initiator of the change and the sheer amount of time required for the change, are unspecified in the stages but will impact the change process.

Fullan identifies four issues related to the process and implementation of change that cannot be easily categorized within one or another stage in the model: (1) active initiation and participation; (2) pressure and support; (3) changes in behavior and beliefs; and 4) problem of ownership of change.

These issues, though not initially evident in the study of the change process, contribute significantly to the process. Each issue will be discussed briefly.

##### **1. Active Initiation and Participation**

Active initiation and participation is an issue that primarily must be considered at the initiation stage, particularly when large numbers of individuals are involved in the change. According to Fullan, active initiation and participation are key factors in the change process but sometimes, with large numbers of individuals, these actions are not implemented until the change process has begun.

## **2. Pressure and Support**

Pressure and support are necessary for successful change. During a successful change process, support and pressure become integrated. "Pressure without support leads to resistance and alienation; support without pressure leads to drift or waste of resources" (Fullan, p. 91).

## **3. Behavior and Belief Change**

The relationship between behavior and belief change is ongoing and reciprocal. Changes in belief may precede or follow changes in behavior. When a change is implemented, the situation may regress before positive outcomes are experienced. Change in behavior and belief lead to understanding and the next issue of ownership.

## **4. Ownership of Change.**

Ownership of change is a complex, progressive process. Ownership of change is not easily acquired. Individuals may be in favor of change, yet not be skilled in the change or understand the change. Ownership results from a successful change process. It is a factor that must be developed from the beginning of the change process.

Although change is a process, it is the individuals involved in this process who must be included in these issues of active initiation and participation, pressure and support, belief and behavioral changes, and ownership of the change process. Initiation, implementation, and continuation are dependent on these individuals.



## CHAPTER 9

### THE CHARACTERISTICS OF THE CHANGE PROCESS

In the framework described in Chapter 7, six characteristics of the change process were introduced. In this chapter, we describe some of the important variables related to those characteristics.

#### A. The Context for Change

The school is not an isolated unit. It exists within the context of a specific district and operates within district policy and management parameters as well as state-level policy and requirements. In particular, change efforts within a school will be influenced by the role of the district, by the change management approach taken by the district, and by the level of support provided by the district. In addition, the general community is a considerable input to and influence on the school, and planning for change efforts within a school must take general community politics and assumptions regarding schooling into account (Mirel, 1994).

##### 1. District Characteristics

District characteristics, such as the enrollment size and the number and proportion of students who are language minority, will be important to note, since these will affect resources available in general, as well as have implications for the nature and amount of resources available for services to limited English proficient students.

The district includes the district administrators, the school board, and other education decision-makers. It is important to examine their levels of support for change, their expectations, and their beliefs regarding what the nature of schools and schooling should be. These aspects of the district provide the general district climate for change; this may affect the local school community climate for change, another organizational context factor.

**District-school relationship.** In terms of the district-school relationship and the implementation of change efforts, two separate aspects of that relationship will be important. First, district-school sharing of management and decision-making will establish parameters for local decision-making regarding change efforts within the school. Top-down emphasis in decision-making will decrease the ability of the school to make decisions in adapting change efforts to its situation; bottom-up emphasis with management decisions based at the local school site will maximize the school's ability to define and manage the change effort. Some optimal blend of the two probably is best (Purkey and Smith, 1985).

A second aspect of the school-district relationship will be the district administration's support for change efforts (Fuhrman et al., 1988; Mace-Matluck, 1987; Pechman and



King, 1993). For example, with regard to change involving bilingual programs in particular, Jones (1990) notes that for successful change to occur all district staff should feel ownership and support implementation of the programs, not only those identified as bilingual personnel.

The district provides support through encouragement and moral support for the change efforts and through the steps taken to enable the most effective implementation of the change. Examples of the latter are obtaining waivers or additional resources when needed, and providing access to budget figures, assessment data, and other information needed by the school staff for decision-making (O'Neil, 1994, based on a report by Wohlstetter). District support is likely be related to the nature of the school-district sharing of decision-making. In addition, Turnbull (1985) has noted that the nature of the support provided by a district to schools may be fragmented when the district environment is one that is too specialized or fragmented. Also, certain types of district support will be more effective early in the improvement process rather than later (Turnbull, 1985).

**Change efforts within the district.** Another characteristic of the district would be the extent of change efforts within the district overall. Strategic planning for change within districts is discussed elsewhere in this report as an example of the nature of change efforts within the district. Rutherford and Huling-Austin (1984) have noted that the impetus for change within high schools in particular often comes initially from the district. Others, such as Fuhrman, Clune, and Elmore (1988) have noted that the district context for change is very influential; for example, districts are described as often proactive rather than reactive in responding to implementation standards (e.g., state standards).

Here, however, we note that schools facing similar challenges in implementing change within a district are likely to provide support for one another. They can share experiences and learn from each other as they move through the various stages of implementation.

## **2. Community Characteristics**

Outside of the school, the general community holds certain expectations for its schools, has assumptions about the appropriate goals and forms of schooling, and has beliefs about the effectiveness of the school for its students (Tyack and Tobin, 1994). These and various political viewpoints present in the community may work for or against change efforts within the school. Through communication and involvement of community representatives, change efforts can inform and try to obtain support—or at least acceptance—from various stakeholders within the community for steps the school is taking. The literature on reform efforts has presented findings documenting the role of the local community in supporting or denying the implementation of change (e.g., Mirel, 1994; Stiegelbauer, 1984). Therefore, the community is an important part of the school's organizational context when considering the description of change efforts.

The community can be described in terms of ethnic and language characteristics, SES, level of education, employment, education, etc. In addition, it can be defined in terms of existing involvement in the school, e.g., volunteering. The community can also be described in terms of community organizations and institutions that could provide important resources to the school. For example, focusing on language minority and limited English proficient students, community resources might include ethnic minority community organizations. Those organizations, which can provide support mechanisms for students and their families as well as translators to assist school staff, will play a role in determining the types of linkages that can be formed between the school and the community. The nature of the resources available may affect how successful and sustained those linkages become.

### **3. State Policies**

Farther removed from the individual school, but still influential, are state policies and mandates. These can establish new parameters or new requirements for districts and schools which prompt changes within individual schools. One example, reported by Kauffman (1994), is that of Tuba City school, where the state policy and Tribal Council policy together led to a rethinking of the school's mission and to a new design for instructional programs. In order to respond to the state requirement that all students learn English plus another language and the Tribal Council requirement that there be Navajo language instruction, the school developed new programs including two-way English and Navajo bilingual classes and Navajo as a Second Language classes.

## **B. Participants in the Change**

The "who" of change efforts is a separate and critical aspect of the definition of change. Included generally within the list of participants are the superintendent and other district administrators, the principal, the teachers (and teachers' union), the board of education, parents, community, and internal/external facilitators of change. Although most discussions do not focus on the students' role, the student is also a key participant (Gandara, 1994; Reyes and McCollum, 1992; McCollum and Walker, 1992).

### **1. School District Administrators**

The policy and stance of the school district with regard to reform can play a very influential role in school reform (Fuhrman, Clune, and Elmore, 1988). Districts can be proactive in setting the mission and goals for reform; they may set up required plans for participation for schools (Felsen, Hopstock, and DiCerbo, 1994; Fuhrman et al., 1988). District administrators can also support school change by providing/seeking waivers that allow for implementation of reforms, that allow autonomy in decision-making to schools in areas of the reform, etc. Districts can also assist in getting state support for reforms by "making them [state policies] happen" (Fuhrman et al., 1988, p 254).

Superintendents can set in motion a sequence of strategic planning activities in order to begin a process of reflection and change within individual schools. Through various incentives or penalties the superintendents can push or encourage schools to enter the reform process (as described in the chapter here on district strategic planning). In addition, planning that incorporates language minority students and limited English proficient students in particular may depend on the nature of the district, its student population, and the district administrator's perspective. For example, even in a district with a relatively small proportion of limited English proficient students, the superintendent who recognizes the needs of these students can set in place the development of a plan and policy regarding their education. The particular format used may vary; it may be either in the form of a separate plan or through an emphasis on inclusion of limited English proficient students in all parts of the district's overall plan (Felsen, Hopstock, and DiCerbo, 1994). Either way, the district-level recognition and emphasis of the needs of these students will have implications for change efforts defined by schools within the district and for perspectives of school staff in serving all students.

Much of the success of efforts provided by persons at the district level will be dependent on the nature of these persons' beliefs regarding the goals of the change efforts, commitment to facilitating and supporting the change efforts, and beliefs regarding the most effective way to provide this support.

## 2. Teachers

The characteristics of the teachers, such as their training, their beliefs regarding learning and regarding their roles and responsibilities, as well as their viewpoints regarding the change being implemented, will be important for how the reform effort is carried out. Research on change in the past has often portrayed teachers as reluctant to change or resistant to change (Sarason, 1981). However, successful examples of change occur when teachers are brought into the process or work together to initiate the process (Richardson, 1990; Pechman and King, 1993).

Teachers implement innovations within their own framework of beliefs, intentions, and theoretical premises which often will not coincide entirely with those of the research frameworks which underlie the innovations (Richardson, 1990). The implementation of change activities will then be different. It is critical to understand what local beliefs and local school cultures exist, both in the aggregate and in individual teachers, to understand how they related to the change effort overall and to implementation of innovations by individual teachers (Richardson, 1990; Goldenberg and Gallimore, 1991). Goldenberg and Gallimore (1991) provide examples from their research on how existing belief systems of teachers affected practices in the classroom and in expectations of parents. They showed further how eventual changes in those belief systems enabled the teachers to make changes in their activities in the classroom and with parents.

individual teachers' views of their own role in the classroom and in the school, as in their feelings of efficacy in work with their students or in their role within the school, also appear to be related to implementation of innovations (Stein and Wang, 1988; Pechman and King, 1993). For example, the areas of decision-making in which teachers are given a voice within school-based management affect how the teacher views the value of that innovation and how the teacher views his/her own participation (Raudenbush, Rowan, and Cheong, 1990).

Often change efforts begin with a core of teachers rather than all of the instructional staff in school. The specific group of teachers involved and the beliefs of these teachers will provide an important starting point for the description of a change effort. That is, the characteristics of this subgroup of teachers as distinct from the aggregate characteristics of teachers within the school will portray a more accurate picture of the input to and starting point of the change effort. For example, there have been several recent articles on the beliefs of mainstream teachers regarding language acquisition and on these teachers' perspectives regarding their role in the education of limited English proficient students (Faltis, 1993; Harklau, 1994; Penfield, 1987; Faltis and Hudelson, 1994). The findings indicate that involving mainstream teachers in collaborative vision-building with bilingual and ESL teachers will require a change in beliefs about the process of language learning, about the types of instructional activities appropriate for language minority students, and a change in perspective regarding their own roles in instruction of language minority students.

This will become a challenging task especially when the goal of a whole school program is to ensure that all teachers view the instruction of all students, including limited English proficient students, as part of their responsibility. Such efforts can be very successful, however. For example, Ortiz et al. (1991) has described the successful use of cross-disciplinary teams for addressing problems identified by teachers in working with students, especially language minority students. This team approach is a formally structured group which meets to address identified cases of students who are having difficulties in order to assess and develop appropriate instructional solutions for the students and to prevent their inappropriate referral to special education. The team provides for a focused opportunity for sharing of information and perspectives across mainstream teachers and bilingual specialist teachers as well as other specialist staff members.

Thus, a variety of research findings points to the importance of recognizing not only the overall, collective system of beliefs present within a school on the part of teachers, but also the belief systems of individual teachers and groups of teachers who are taking part in a change effort.

### 3. Principals

Principals are important participants in school change (e.g., Leithwood and Montgomery, 1982). The role of the principal and of principal leadership in change has been an important element within research on effective schools (Edmonds, 1979;

Brookover et al., 1978) and on change (Fullan, 1991). The literature on reform generally confirms the importance of the principal and expands on the various ways in which a principal's role can be described and the challenge of the position (Sarason, 1981). Some principals exercise "facilitative power" by serving as facilitators for their teachers, providing a form of leadership that encourages the role of teachers as professionals. Goldman, Dunlap, and Conley (1991) describe examples of successful change efforts in schools where the principal was able to stand back and allow teachers to make decisions. The principal assisted by providing resources and time for "creative" staffing to assist in fulfilling the staff's ideas. These principals were nonauthoritarian in their interactions with teachers and were important participants in the vision-building process, "removing barriers" as an ongoing activity to support teachers.

There has been limited research related to principals as participants in change related specifically to limited English proficient students. Although many of the same findings would be expected to apply, the level of awareness of the principal regarding the needs of language minority and limited English proficient students, and effective instruction for these students would be expected to be important. This level of awareness would be critical if the principal is to serve as a leader and motivator with regard to whole school approaches that include equal focus on effective change for all students.

#### 4. Parents

Most of the focus on parents and schools has been on describing parent involvement efforts and on attempts to increase parent involvement (Epstein, 1985, 1986). The types of activities in which parents are involved fit within parents' expectations regarding schooling and their role; most often these involve ensuring that parents provide support for homework, read to the students, and help out in non-instructional activities.

With regard to change efforts specifically, parents are a key part of the community from which to obtain support for the change. When change efforts contrast with the parents' expectations regarding schools, then parents—and the community—will need to be convinced that the changes are appropriate and their concerns will need to be addressed. In particular, parents will need to be informed and included in discussions if there is to be a "restructured" effort that contrasts with the general expectations and "definitions" of schooling that are assumed by parents and community. For example, using cooperative work groups and arranging desks in the classroom to support the cooperative work will puzzle those for whom straight rows of desks and individual student work define schooling. Where the parents and community see significant changes that do not mesh with their concepts of schooling, and where these sources of concern are not anticipated and addressed, the change effort is likely to run into considerable trouble (e.g., Mirel, 1994).



In the case of language minority students, parent involvement efforts have often been designed to help inform parents of their role, to encourage them to take on a meaningful role in their children's schooling, and to assist them by helping them understand specifically what they can do to assist their child. In the case of language minority students, parents often do not understand what their role is in relation to the school due to their lack of familiarity with the system. For others, their cultural background leads them to assume a less participatory role in deference to the educators, whom they traditionally hold in great respect.

Thus, the parents of language minority students may in some ways be more open to newer approaches to parent involvement, since they come as newcomers who are generally willing to learn about what their role can/should be. Change efforts such as those described by Moll et al. (1990) provide examples of parents coming into the classroom to provide their expertise to the class (e.g., a parent describing construction work on a house for a unit on buildings and architecture). Many other approaches have been tried out successfully to bring parents into the schooling process (U.S. Department of Education, 1994; Violand-Sanchez, Sutton, and Ware, 1991). The key is to understand the parent community and its needs and to design parent involvement approaches that meet these needs.

For parents of language minority and limited English proficient children, language of communication with the school is an issue. Successful change efforts can incorporate language assistance and translation services at parent meetings in order to remove the language barrier as much as possible. Teachers often will need assistance in how to work with parents from different cultural and language backgrounds. This should include especially mainstream teachers, who frequently rely on the bilingual or ESL professional to handle all contacts with parents (Harklau, 1994).

## **5. Local Community**

In the discussion of change within a school, there has not been much written regarding the role of the local community, except in a reactive role. For example, while there has been a considerable amount of energy and activities devoted to school-business partnerships over the past decade, the specific role of the business and other community members and organizations as participants in a particular school's change effort has generally not been examined. However, in the context of strategic planning within districts, the community has been recognized as a key audience and stakeholder to be involved in discussions of change efforts from the beginning.

When schools serve language minority populations, there are often within the community other types of organizations present with which the school may not typically interact. Often local ethnic groups will have developed a community group or association that serves as a central source of information and activities for



schools" established. These are schools which convene on Saturdays and which students from that language group attend in order to learn the language and culture of their group. For example, Japanese or Chinese students will attend a Saturday school in order to learn to read and write in Kanji and to learn about elements of their background and history that the parents and the community wish to preserve. These may be very rich sources of information, community linkages, and possible collaboration for the public schools. Thus far, given the focus on mainstream students, these types of community organizations have not been included in the discussion of change efforts. Similarly, language minority businesses and other organizations can be included in outreach and as sources of support for change efforts involving language minority students.

## **6. Students**

The students involved in change efforts have not generally been included as participants; instead, their improved experience in instruction and increased achievement has been the focus of the change efforts. However, students play an important role. Student reactions to their restructured roles, to changes in their teachers' roles, to changes in the climate/culture of the school and to changes in the topics and materials used in instruction probably deserve more attention. Particularly at the upper grades (middle and secondary levels) student input/reactions to change efforts should be explored.

Information can be available from language minority students as well as mainstream students regarding their instruction. For example, in case studies of services for limited English proficient students carried out as part of the Descriptive Study of Services for Limited English Proficient Students (Fleischman and Said, 1993), groups of students were interviewed regarding their instruction and their reactions. They were often quite frank in stating their views regarding the structure and scheduling of their instructional day, and the instruction they received. Student input as participants in change should be included in describing the process of change.

## **7. Professional Organizations**

Teachers' unions often are asked to provide support of a planned change effort. Even when teachers' unions have given approvals of a project, problems may later arise that will weaken the change effort (e.g., Mirel, 1994; Felsen, Hopstock, and DiCerbo, 1994) as some of the specifics of what is needed to be implemented begin to take shape. Examples such as these show that the realities of the change effort in terms of contract terms, salaries, etc., where these might be affected need to be taken into consideration at the beginning of the change effort. Any concerns or sensitivities that are mentioned early in the process should be addressed immediately and directly.

When the change effort involves language minority and limited English proficient students and specifically involves mainstream teachers views of their roles and

responsibilities related to these students, issues of burden may arise (as has been true for special education students). Although teachers already recognize that limited English proficient students are in their classes, change efforts that involve mainstream teachers' approaches to working with the students may need to be clarified with teachers and union representatives if any concerns arise. Staff development and ongoing support for all teachers would be an important concern in any case; information on assumptions and changes should be made clear to all teachers.

#### **8. Boards of Education**

Local boards of education are often key players in supporting change efforts, especially when there is a whole district effort involved. The findings from experience in implementation of change efforts indicates the importance of gaining support early on from Boards of Education, especially providing information and allowing input from the members of the Board to be taken into account in structuring the change effort. Clearly, in examining a change effort, the perspectives of the board of education and the implications of those perspectives for level of support for the district and for the school's efforts are important to understand and take into account.

#### **9. External Change Agents**

Some of the earlier research on change (e.g., Berman and McLaughlin, 1975a) suggested that external change agents were not sufficiently sensitive to local needs to provide helpful facilitation of change. However, as McLaughlin (1990) has noted in a reassessment of some of the earlier findings, external change agents can play an effective role in promoting change. Other researchers have also noted the role that persons outside of the school can play. For example, Jolly, Hord, and Vaughn (1990) report on a case study in which an external change agent assisted school staff in developing their vision of an ideal school, and then in specifying the first steps to be taken toward school improvement. Fullan (1991) also discusses the roles that can be played in change efforts by external agents.

In some research on change and school improvement, researchers work with school staff or parent/community members in the conduct and study of the change efforts. For example, Shann (1990) carried out research on improvement efforts within middle schools through a collaborative effort involving university researchers and school and district staff. Delgado-Gaitan (1993) describes how she began as an observer/researcher and gradually took on the role of a participant in change in working with parents.

In research on school change, the roles of the researchers, what information will be shared, and how it will be provided are important issues to consider. The degree of involvement of the researchers and the nature of feedback provided will involve the researcher to a greater or lesser extent as a researcher/change agent. This is likely to have implications for the design and findings to be obtained.

### **C. The Scope of Change**

Within the change process, it will be important to define the nature of the change effort's implementation in terms of its scope. Earlier, when we defined the content of change, it was pointed out that a balance must be achieved between the level of ambition of a change effort and the level of burden it brings to those involved. The reform efforts of the late 1980s and 1990s began to focus on systemic change when it was recognized that implementation of numerous, discrete, small-scale innovations was not really tapping the potential for meaningful change. However, there is at the same time a concern for not taking on too much at one time, so that the change effort becomes overwhelming. Thus, on the one hand, change efforts must be ambitious enough to be meaningful and to motivate and excite persons involved in the change effort. On the other hand, the change effort must not require too much too soon of those involved. Therefore, the question of the scope of change is a key part of the definition of a proposed change effort.

Similarly, in describing the implementation of a proposed change effort within a school, the scope of implementation is an important question. A proposed change effort may involve a bundle of innovations but may be implemented initially on a much smaller scale. The scope of a change effort needs to be defined at different points in the initiation, implementation, and continuation of the change effort. The scope of a change effort's implementation at any one point can be defined in at least four ways.

#### **1. Scope Defined in Terms of Numbers of Participants**

First, and most simply, the scope of the change effort can be defined in terms of the numbers of participants, or the proportion of possible participants in relation to those in the school. For example, a change effort may be designed to involve all teachers in a school. However, within the initial phase of implementation, the change effort may be designed to involve only a small subset of teachers, and then later expand to include all other teachers. In the experience of at least one group of researchers, working within the Coalition of Essential Schools, working with a smaller, separate group within a school as an initial step toward school-wide change does not work. When a separate segment within a school was used as a strategy for defining the initial scope of change, problems developed in terms of relationships with others in the school (McQuillan and Muncey, 1991, cited in Prestine and Bowen, 1993). Using a different but related categorization of scope, Rutherford and Huling-Austin (1984) described the scope of change in terms of four categories: individual, subunit, school-wide, and district-wide.

#### **2. Scope Defined in Terms of Extent of Use**

Scope of change has also been defined in terms of the extent of use of the change activities or innovation. For example, Tillema and Koster (1990) define extent of use as the degree to which parts or elements of an innovation are used. Extent of use

could be defined in terms of frequency of use; it could also be defined in terms of the extent to which the innovation is fully implemented as opposed to implemented in part.

### **3. Scope Defined as the Number of Innovations Implemented**

The implementation of a change effort can also be defined in terms of the number of separate innovations being implemented at one time. Often a change effort actually represents an "innovation bundle" (Loucks and Hall, 1981), and each innovation will require a process of initiating, implementing, and institutionalizing. Ideally, a set of innovations is always linked toward common, related goals. However, even if these are linked, it may not be possible to institute all of the specific changes at one time. Thus, the change process may be managed by a gradual process of implementation, in which selected specific changes are initiated first, and only after these are in place is implementation begun with others of the planned set of changes.

For example, Hord (1984) describes "incrementalism" in implementation, building up a major change through a gradual process of implementing small changes. Depending on the nature of the change, however, this may not be possible or effective; instead, a more discontinuous, more ambitious change effort may be most effective. Also, motivation and support for the change effort may be stronger when there is a clear and ambitious shift to a new instructional approach or mode of operating within the school.

### **4. Scope Defined in Terms of the Goals and Focuses Addressed**

An additional means of defining the scope of change activities implemented at different points in a change effort may be in terms of the model presented earlier in Chapter 4 in which change efforts were discussed in terms of four goals of comprehensive school programs and five areas of focus. An overall change effort within a school may be defined as addressing one or more goals by means of activities within one or more areas of focus. The activities implemented initially may be those that address only one of the goals; or, the activities initially may involve only one of the context categories and then expand to addressing other categories. Thus, use of the model for defining the change effort may also provide an additional way of identifying the scope of implementation at any one point in the change process.

For example, a change effort may be designed to address the "challenge" goal by both introducing a new instructional approach that provides for student involvement in higher-order cognitive skills (student instructional experience), and by working with teachers to increase their level of beliefs and commitment regarding the need and potential for involving limited English proficient students in such academic tasks (climate/culture). There are at least two alternatives for the plan for implementation. One alternative would involve addressing only one of the components initially, i.e., either introducing the approach directly or working with teachers to build a change

in beliefs first (e.g., Stein and Wang, 1988; Conley, 1993a) before phasing in the actual use of the innovation. A second alternative would be to carry out both activities at one time.

#### **D. Strategies for Change**

The description of the change process within an individual school also will involve an understanding of the strategies for implementation that are underlying the specific change management approach. These strategies represent the beliefs about the most effective route to change on the part of the person or persons directing the change process. The description of these beliefs, and their implications for the strategies employed in management of the change process, may provide guidance for others in implementing it. The definition of such strategies implies that there is reflection on the change process and systematic planning for the implementation of the change effort. There are two types of strategies that might be defined: strategies for the design of implementation and strategies for support of change efforts.

##### **1. Strategies for the Design of Implementation**

As the literature has shown, effective change efforts most often involve implementation of more than a single, discrete change. Rather, it is more likely to be the case that there will be a related set of changes in the school organizational system (i.e., areas of focus addressed) and in the "schooling" received by individual students. Thus, change is relatively complex and implementation decisions are equally complex (e.g., Pechman and King, 1993).

Correspondingly, the implementation of change can take a number of different forms. Those who are planning a change effort will need to determine the most effective means of initiating and implementing a change effort. One means of conceptualizing design options is provided by the model for the content of change, utilizing the four goals and five focuses of change. Steps to proceed could be defined in terms of the area of focus to be targeted initially, with a specific goal in mind.

For example, a specific change effort may begin with a focus on climate/culture factors, e.g., by motivating persons to recognize the need for change and to accept (or at least not resist) the fact that a change is about to be put into place. There are many discussions in the literature of steps taken to build the "readiness" (Conley, 1993a) or the "will" (Miles and Louis, 1990) for change. Stein and Wang (1988) emphasize the importance of addressing the development of intrinsic interest and motivation on the part of teachers for carrying out the effective innovation (e.g., by providing data to demonstrate the need and by providing information on what can be done to reverse existing conditions). Using an alternative strategy, the initiation of a specific change effort would involve putting the change into practice with the expectation that beliefs and commitment to the change will follow. Thus, two



separate strategies could be defined: (1) address climate/culture first, instructional practice second; or (2) address instructional practice first, climate/culture second.

It should be recognized, however, that the validity of an implementation strategy may vary for schools with different characteristics or within different settings. Specific strategies may need to be defined for particular schools types (e.g., a change within a school with a large bilingual program as opposed to change within a program in which limited English proficient students are most often within regular classrooms). However, over the course of a number of examples of change efforts, principles for the design of certain types of implementations in specific contexts may emerge.

## **2. Strategies for Support of Implementation**

Equally important to the change effort are decisions regarding the nature of support provided for the implementation of a change effort. Staff development is one strategy for the support of changes within the classroom. Staff development should be designed to provide teachers with the ongoing support needed to effectively implement a new instructional approach or other innovation.

**Need for continuing support.** Loucks-Horsley and Roody (1990) point out that there is need for continued training and support, as well as need for those implementing the change to recognize that change will take time. In addition, the needs of newcomers into a program for training and the needs of experienced teachers and staff for further growth both should be incorporated into any staff development plan.

This same point is repeated by Stein and Wang (1988). The typical one-shot workshop approach cannot be effective in producing long-term change (Stein and Wang, 1988), since teachers will need continuing support from others as they attempt to carry it out in the classroom. Personal support is an important strategy for dissemination and is necessary for stable use of an innovation (Tillema and Koster, 1990).

Support for a new instructional approach might be through a mentor teacher making regular visits, through opportunities for teachers to discuss their experiences in implementation, or through other approaches. Support for teachers' participation in site-based management would include training in how to make effective use of committees, how to build consensus, develop budgets, etc. If such training does not occur, there is likelihood that the effort will become lost in power struggles, especially early on (O'Neil, 1994).

**Using goals and focuses of change to define strategies.** The strategies for support of implementation will be shaped by the existing school characteristics/conditions, such as those defined within the five areas of focus of change. Characteristics of the school within one area of focus may have implications for success of a change directed toward another area of focus. For example, if the school's system for



management/governance is a top-down system, using collaborative teacher groups might be a less effective means of supporting the innovative approach. Within a more "organic" system, in which there is already much teacher input and emphasis on professionalism, providing time for joint discussion and support focused on the progress of the change effort per se is likely to be more appropriate.

#### E. Organizational Outcomes

The term organizational outcomes refers to all changes in the operation of the school which result from the change effort, especially changes resulting from activities that address one or more of the five areas of focus (school structure/characteristics, climate/culture, management/governance, linkage with community/parents, student instructional experience). Researchers have indicated the need to develop a comprehensive set of measures to guide school reform and improvement (Shann, 1990; Oakes, 1989). Measures of school climate and other indicators of the nature of schooling within an individual institution provide important information that can be related to student outcomes. That is, measures of what is changed within a school as a result of change activities provide a means of tracking change and of linking changes accomplished within the school to later student outcomes. As an example, Lee and Smith (1994) have reported that a number of restructuring practices within secondary schools are associated with student achievement.

Often, however, it is the case that the variables identified as important to a description of the school climate or of other variables that provide insight into the "internal life" of the school are also the most difficult to measure. Prestine and Bowen (1993) identify four benchmarks of school restructuring efforts within Essential Schools. They are the following: (1) substantial agreement within the school about the need for change; (2) observable change, i.e., visible change in the structure of the school; (3) all-school participation; and (4) systemic leadership (i.e., participants step into leadership roles and those in formal leadership roles also step aside to assume new relationships). They also note that there is no one identified model against which to measure the change processes since, within this model, each school must structure its own understanding of change.

Given that the variables used to assess organizational outcomes are often also those that are difficult to measure, it will be important to develop multiple measures of key variables, and to include social as well as physical variables (such as size and resources) (Rutter, 1980, cited in Shann, 1990). Making a similar point, Jolly, Hord, and Vaughn (1990) state that schools are complex social institutions that require multiple assessment criteria.

Teacher beliefs provide an example of variable that is more difficult to assess but which can have important implications for the services actually received by students. For example, a change effort may address changes in the beliefs of teachers regarding the level of instruction that can be provided to limited English proficient students as a preliminary step to involving teachers in providing challenging academic tasks to these students. A goal

would be to increase the level of challenge presented to students in their instruction. Direct organizational outcomes would be changes in teachers' beliefs regarding the potential for involving limited English proficient students in more challenging tasks. Indirect organizational outcomes would be actual use in the classroom of more materials and tasks that involve higher order skills, an outcome that would be more specifically related to student instructional services.

As the preceding example indicates, there are two dimensions on which organizational outcomes vary:

- (1) Whether the outcomes are direct or indirect results of the change process; and
- (2) Whether or not the outcomes relate specifically to student services.

### **1. Direct/Indirect Results of Change Efforts**

Any study of school change must necessarily recognize that change is a "messy" process and that the actual organizational changes which occur may or may not reflect those actually planned. When one part of the school changes, other parts also change--or actively resist change (Sizer, 1985); there are often "ripple effects" and many of these may help to build toward a broader change effort. A study of change should therefore focus on both direct and indirect organizational outcomes. For example, a change effort to increase communication among teachers of limited English proficient students may be effective in that regard. However, it may also lead to frustration with school administrators when common goals that are agreed upon by the teachers conflict with goals and objectives of the broader school system. Designing research measures which allow tracking of both direct and indirect outcomes thus should be an important objective of the study.

### **2. Relation of Results to Instructional Services**

A second key dimension on which organizational outcomes will vary is whether those outcomes relate specifically to student instructional services. An example of an organizational outcome which does relate to student services is a measure of the challenge of the curriculum actually offered to limited English proficient students. A study could rate the complexity of curriculum materials being used in actual classrooms before and after a school change as a measure of change of student services.

Other measures of the same change effort not specifically related to student services might include the number of teachers introduced to new curriculum materials and the amount of training offered relevant to those materials. A change study probably should include both types of measures, but the measures specifically related to student services are the most important. Measures of changes in student services are often difficult to collect and thus are sometimes excluded from data collection, but any study of school change should clearly include them.

It is also important to recognize that the organizational outcomes which should be measured will vary in priority across the three stages of the change effort (initiation, implementation, and continuation). During the initiation stage, for example, measures of changes not specifically related to student services (e.g., advocacy for change, the availability of external change agents) will be more important, since student outcomes cannot occur until there is first implementation of the proposed change. During the implementation stage, it is particularly important to collect measures of outcomes related to student services as well as measures of indirect organizational outcomes. During the continuation phase, there needs to be emphasis once again on changes not specifically related to student services (e.g., training of new staff, development of new leaders) in order to determine if the change effort will be long-lasting.

The selection of specific organizational outcomes variables to be assessed will often be unique to an individual school, since they will be related to the specific goals and objectives that the school has selected for its improvement (Jolly, Hord, and Vaughn, 1990). In assessing change, it is also important to establish a reasonable schedule in implementation and in measurement of the changes, since change will take time and may occur slowly, in small increments (Pechman and King, 1993).

#### **F. Student Outcomes**

It is generally agreed that the ultimate goal of school change efforts is changes in student outcomes. However, beyond this general goal statement, it is often difficult to gain consensus concerning what student outcomes are desired and how progress toward those outcomes should be measured. As was true with regard to the organizational outcomes, it will be important to develop multiple measures of outcomes.

The student outcomes that are selected should accurately reflect the educational outcomes that the district and school believe are most important and care most about (Lezotte and Bancroft, 1985). Student outcomes have most often been defined in terms of achievement test scores. However, the use of standardized assessment instruments for limited English proficient students has been a source of considerable debate, especially within the context of national standards and assessments (Rivera and LaCelle-Peterson, 1994; Zehler et al., 1994). More recently, student academic outcomes are also being examined through alternative assessments of academic outcomes (e.g., tasks that tap ability to think scientifically when the change effort has involved higher-order instruction in science, as in Warren and Rosebery, 1991; also, Navarette et al., 1990). These types of assessments offer greater possibilities in terms of assessing a broader range of student outcomes, through performance tasks, problem-solving tasks, and other means of demonstrating skills and understanding of concepts (e.g., "authentic assessment", Wiggins, 1989).

For many researchers, the use of measures of cognitive outcomes only, and measurement of these by one type of test only (e.g., a standardized test, a test of reading) is too narrow a means of assessing change. For example, Shann (1990) found results in her research

indicating the importance of pro-social behaviors and other non-cognitive student outcomes in relation to academic achievement.

For the purposes of a research study on change, there will need to be agreed upon measures of student outcomes (cognitive and other) so that it is possible not only to gain an understanding of the effects of change efforts on the nature of the school and schooling received by students but also to link the change effort to changes in student outcomes.

Based on the goals of programs that have been discussed thus far in this review, we suggest that the student outcomes to be observed and tracked are of the following four types:

- (1) Outcomes related to student achievement of instructional objectives (e.g., standardized tests, grades on classroom tests, "best efforts" in student portfolios, graduation);
- (2) Outcomes related to student effort in achieving objectives (e.g., school attendance, engagement in tasks, goals for future education, presence of products such as outlines and drafts in portfolios);
- (3) Outcomes related to student "readiness" (e.g., physical and emotional health, sound nutrition, well-rounded experience, etc.); and
- (4) Outcomes related to language proficiency (e.g., oral proficiency in English and the student's native language).

#### **1. Student Achievement Outcomes**

Student achievement outcomes are those that are most universally measured, often by standardized assessments. However, within a study of change the specific means of assessing academic outcomes may also differ across schools, as each school selects measures that most appropriately assess the skills and content emphasized in instruction. Thus, multiple measures of academic achievement would be important.

#### **2. Student Effort Outcomes**

In most models of school change, variables we define as related to student effort are necessary antecedents of student achievement, and thus measures of student effort are often included in studies of school change. By effort, we refer to a range of measures that relate to the student's approach to instruction and involvement in instruction, such as those that assess student engagement in academic tasks, participation in cooperative work groups, improved attendance, increased positive attitudes toward schooling, and higher goals for future education.

### 3. Student Readiness Outcomes

An ethic of caring or concern for the whole student is an important goal of schools, then measures of student outcome variables related to that goal are also important. These would be outcomes we define as student readiness outcomes, which would be assessed by variables such as extent to which students come to school in good health, receive support for problems at home, and receive care during out-of-school hours.

### 4. Student Language Proficiency Outcomes

Within schools serving limited English proficient students, measures of language proficiency are key outcomes to be assessed. These would be measures of English language proficiency and, as appropriate within programs, of native language proficiency. These can be measures of oral language proficiency (speaking and comprehension) as well as literacy skills.

We believe that any study of school change should include measures of all four types of student outcomes so that the linkage between organizational outcomes and student outcomes can be clearly established. A key question to be answered is whether changes that are implemented result in higher levels of student performance. This will be a difficult question to answer, since other factors, including other innovations, may all play a role in student performance at one time within a school.

The selection of outcomes measures should be made so as to support school improvement efforts toward the school's selected goals (Torres, 1987). Student outcomes measures should also be carefully selected so that they are appropriate reflections of the schools' change efforts. Many studies err in their selection of achievement measures; often a measure is selected that is either insensitive to the specific innovations being implemented or too selectively keyed to a specific measure (Slavin, 1990). Research is needed that carefully selects and examines a range of student outcomes measures and that relates these to school change content and processes.

It is also important to recognize that student outcomes are likely to differ at different stages of the change process. During the initiation stage, there may be great excitement about the change, and student outcomes may be positively affected by that excitement. On the other hand, the organizational changes may be not totally implemented, so changes in student outcomes may be delayed. During the implementation stage, there will be particular interest in student outcomes and in linking those with the change activities and organizational outcomes; thus, it is at this stage that student outcomes will need to be most clearly documented. At the continuation stage, it is likely that student outcomes will once again change as the effort expands beyond the original leaders and as adaptations of the content of the change are made.

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**PART IV**

**A SUMMARY FRAMEWORK  
AND DESIGN ISSUES FOR A STUDY ON CHANGE**



## CHAPTER 10

### APPROACH TO THE DESIGN OF RESEARCH ON SCHOOL CHANGE EFFORTS

#### A. Introduction

The preceding chapters have provided findings based on the research literature related to change. As this review has noted, the literature on school change has for the most part not focused on the issues of limited English proficient students or on the role of categorical programs such as those that serve limited English proficient students within reform efforts. Similarly, studies of services for limited English proficient students have typically not focused on comprehensive school programs. Clearly, however, given the goals that our nation has set for education for the year 2000 for all students, it is imperative that future research combine these two emphases. A study of institutional change affecting limited English proficient students should be an important contribution to this effort. Such a study will examine the nature and approaches to implementation of change with a recognition of the issues that will arise particularly within schools that serve limited English proficient students.

As the research on change has demonstrated and as the recent Title VII legislation has indicated, there must be a broader perspective on the instruction of limited English proficient students. This perspective must look toward integration of services within a school and toward a more comprehensive concern with the quality of the schooling which these students receive. This argues for a research study that looks at change through the examination of the whole instructional experience of individual students, and the activities and perspectives of all staff within a school. In this chapter, we present a summary framework for describing school change and discuss the issues that need to be addressed in the design of research on school change efforts affecting limited English proficient students.

#### B. A Summary Framework for Describing School Change Efforts Involving Limited English Proficient Students

In preceding chapters, we have focused on discussing the study of change efforts in terms of two main aspects: the content of change and the process of change. These together define a change effort. Examining process alone is not useful, since there must be a focus on the change activities themselves. However, examining the content of change without looking at the process of its implementation is similarly meaning less, since the process of implementation plays a key role in the final form and outcomes of the change. A change effort must therefore be viewed as comprised of both content and process.

First, the content of the change effort should be defined in terms of the goal(s) addressed and the specific areas of focus through which the goal(s) will be addressed. In addition, the process of change must be defined in terms of the characteristics of the change process in each of the stages of change. Figure 10-1 presents a detailed representation of the change

effort in terms of both the content and process of change. We believe that this summary framework can provide the basis for the design of a comprehensive research study of school change efforts relating to limited English proficient students.

### C. Design Issues

The summary framework for research on institutional change has been developed in order to guide the design of a study that will focus on change efforts within institutions that serve limited English proficient students. In developing the design for the research study, there are several issues to be addressed. These include issues related to the focus of the study, the sample to be used, the approach to definition of the change effort, the methodological approach, and the types of outcomes to be examined. These issues involved are discussed below.

#### 1. What should be the primary focus of the study on institutional change affecting limited English proficient students?

These findings of this review on change efforts and the implementation of change indicate that there is much to be learned in implementing change within schools serving limited English proficient students. The study on institutional change should address the need for information on how change initiatives that focus on whole school integration of services can be effectively implemented when there are programs for limited English proficient students present. This recommendation is supported by the following findings:

**The limits of the existing research base.** The review findings have indicated that there is very little work that integrates an examination of comprehensive school reform efforts and the specific efforts directed to limited English proficient students. Most of the literature on comprehensive school change has assumed a "universal" student and "universal" teacher. The larger portion of this literature involves collaboration of teachers, cross-classroom linkages, instructional approaches requiring student-student collaboration, teacher facilitation of student efforts, and linkages with the community. Clearly evident in these efforts is a focus on building linkages and networks across what have been in the past traditionally isolated classrooms. However, most of the work has been carried out without a focus on the specific types of staff and classrooms involved.

On the other hand, the research on instruction of limited English proficient students over the past two decades has developed a strong knowledge base of what constitutes effective classroom instruction for language minority students. Title VII programs, consistent with the focus in the research, have been defined in terms of the various classroom instructional approaches (i.e., two-way developmental programs, transitional programs, special alternative programs). However, despite research on characteristics of effective schools (Garcia, 1988, 1991; Carter and Chatfield, 1986), there has been very little work on instruction of language minority students that examines the development of linkages with other classrooms and services within the

Figure 10-1

# THE CHANGE EFFORT

## CONTENT OF CHANGE

## PROCESS OF CHANGE

### Focuses of Change

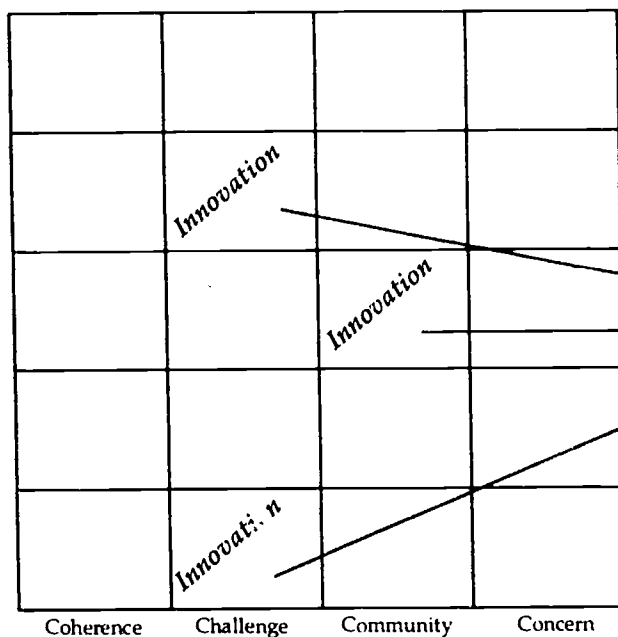
Structure and Characteristics

Climate/Culture

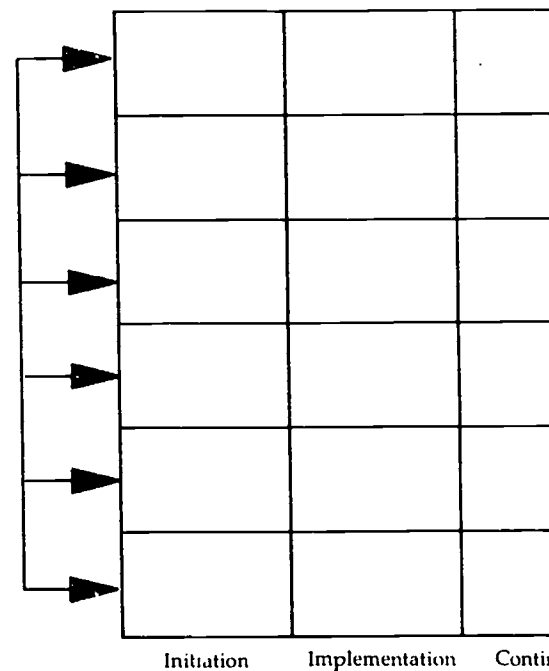
Management/Governance

Linkages with Community/Parents

Student Instructional Experience



### Goals of Change



### Stages of Implementation

school. The research on instruction of language minority students has not provided the information needed on "schooling" (Bidwell and Kasarda, 1980) or on whole school aspects of the program. More research is needed, for example, that looks closely at the instruction received by language minority students when they move into regular classes, either as part of "transitional" services or post-exit services, or that looks at coordination and collaboration among teachers across regular and special programs.

**The need for a research base.** The research findings indicate that the newly authorized Title VII programs essentially will institute new whole school change efforts for which the existing research base is limited in terms of findings related to schools serving limited English proficient students. For example, we know a lot about collaboration and reflective practice among teachers in general but not about collaboration among bilingual classroom teachers and regular classroom teachers. We know that these teachers differ in beliefs about instruction and understanding about second language learning (e.g., Faltis, 1993; Harklau, 1994; Penfield, 1987) but not enough about how to implement change efforts to promote their effective collaboration. In addition, research has shown that there is too often segmentation of Title VII services from the regular program of instruction, a fact that makes coordination across the regular and Title VII services more difficult.

Thus, there is a need to have research findings that can be used to guide those who wish to begin the process of establishing an integrated, comprehensive system of schooling for their limited English proficient students. For this reason, the focus of a study on institutional change should be on the implementation of change efforts that are directed toward whole school change; that is, the efforts should be those that include not only effective classroom practices and student instructional experiences but that also include an integrated focus on linkages and relationships among classrooms, students, staff, and community.

## **2. What types of schools and districts should be studied?**

**Defining the scope of the study.** To begin describing the scope of the study, we need to state just what specific group of districts and/or schools should be studied. Should these be only schools that are starting a new Title VII grant to support comprehensive school change? Should these be schools and districts that are nationally representative of all schools and districts, with only a small portion of these Title VII schools/districts? In the case of the former, all schools included in the study would be Title VII grant recipients who were just beginning a five-year project to carry out a comprehensive change effort. In the case of the latter, the sample would not be limited to Title VII schools and would include change efforts as they randomly occurred in the sample. Each provides the basis for answering very different types of questions.

**A study of Title VII Comprehensive School Projects.** One means of addressing the study of change would be to carry out a study that takes a "before" picture of schools

about to implement a Comprehensive School Program and tracks the change process for five years. The objective would be to determine the types of change efforts put into place and to identify any principles of implementing change that others might use in carrying out similar change efforts. In this approach, the study of Comprehensive School Programs would develop a research base from which others could learn. Thus, the program would help fulfill the role for the program as a "North Star" program as Title VII has been described by the OBEMLA Director, Dr. Eugene Garcia, 1994, i.e., to identify principles and practices that can inform other schools that are beginning similar change efforts. With the newly awarded grant projects as the focus of the study, there will be greater likelihood of opportunities to examine the implementation of change efforts focused on limited English proficient students and on the types of goals expected to be addressed by comprehensive school programs.

**A study of a nationally representative sample of schools.** An alternative purpose of the study might be to describe what is occurring in schools now, i.e., to provide a descriptive study of schools serving limited English proficient at specified points in time over the five years. This study would presumably note and describe any change efforts that occur and their outcomes, based on the assumption that the new IASA legislation and general climate for reform nationally would promote such changes taking place. This type of study, however, would be less likely to focus directly on specific issues of change that would help to inform future change efforts in the field.

**3. What should be the relationship between the design of the study and the selection of grantees for the Title VII Comprehensive School Program?**

If it is decided that the recipients of Comprehensive School Program grants should be the focus of the research, there are possible interesting implications for the funding of the newly authorized programs. That is, the criteria for evaluation of proposed projects and the priorities for funding of projects could be defined in ways that will provide the best range of study sites and therefore best serve the goals of the proposed research study.

For example, if the goal of the comprehensive school programs is to identify key approaches to implementation of change within a variety of contexts, the types of programs that are encouraged to apply may include those that represent not only large districts with large populations of limited English proficient students but also those districts that have smaller populations, with program structures that are correspondingly different. This might include schools where coordination is needed across bilingual classrooms and the regular classrooms into which students are gradually transitioned. It might also include districts where coordination involves an itinerant ESL/bilingual teacher and the regular classroom teachers who work with the students for the majority of the instructional day.



Also, using another approach, the review and selection of projects could be based on different priorities for the nature of the change efforts proposed and the characteristics of the local context in which they will be implemented. For example, change efforts that include a focus on the goals of challenge and coherence within specified types of school programs could be given priority. Thus, a purposive sample could be selected from among the projects funded as either the full sample for the study or as a significant portion of the sample to be defined.

#### **4. How should the change effort be defined?**

The definition of change efforts can be both specific and generic. This is true for descriptions both of the content of change and of the process of change.

A specific definition of the content of a change effort would be in terms of the particular activities involved in the change effort within the school. At a generic level, the same change effort could be defined in terms of the general focus of the change effort used to address the identified goal. The generic level of definition would make it possible to look across different examples of change efforts and to discuss which tend to be more effective in promoting progress toward an identified goal, e.g., coherence in instruction. This would be, for example, distinctions among efforts that directly address the climate/culture in the school versus efforts that address student instructional experience directly versus efforts that address management/governance. In other words, there may be general principles that can be identified as leading toward most effective change efforts. These principles may hold true within certain types of contexts (e.g., for a school within a large district having only a small population of limited English proficient students as opposed to a school within a large district with a large population of limited English proficient students). These types of close examinations of change efforts, carried out over time, could develop understandings of patterns that may inform practice (Cuban, 1990).

With regard to the process of change, specific descriptions of the change process and its characteristics and stages could be used along with generic indicators such as the CBAM model (see Section D3 below).

#### **5. What should be the methodological approach?**

Given the complexity of the factors involved in the implementation of change efforts within any individual school situation, the design of the study should include methodologies that will allow a focus on the context, the content and process of change activities, and relationships/interactions among different variables and participants. Thus, case studies and ethnographic observations would be appropriate and important to include as at least one portion of the study to be conducted. However, if the study is limited to in-depth case studies alone, it will be difficult to draw conclusions that can be applied to other situations and thus less useful in terms of policy implications. Thus, the study design should be one that is two-pronged in focus, allowing for observations both across and within project sites.



**Cross-site comparisons.** First, the study should be designed to identify and address generic questions related to the implementation of comprehensive school change efforts. This could be accomplished by the selection of sites that allow for key comparisons in terms of the goals addressed, the strategies chosen for implementation of similar goals, different school characteristics (e.g., large school with a bilingual program versus one served by ESL instruction) or other context components. There should be across the sites some core sets of data obtained to allow for comparison in implementation and in outcomes. The study would therefore need to identify key issues and specify key variables that are consistently defined across the various sites.

**Within-site observation.** Second, the study should focus on examining in greater detail the specific change efforts and specific implementation activities and outcomes and the relationships among these within each site. To the extent possible, the procedures for the case study or ethnographic efforts should include guidelines for observation of key indicators so that there is as much consistency as possible within and across sites. If the study approach within each site is similar, the observations and data obtained within individual sites may also be examined to draw conclusions regarding similarities and differences in patterns observed for different change efforts across sites.

**6. Should there be a longitudinal or cross-sectional design for the research?**

Ideally, perhaps, if a study is tracking a change effort within a school, it should longitudinally track the students who are affected by the changes. However, past experience in conducting research on language minority populations has demonstrated that the high mobility of the population makes it extremely difficult to carry out a longitudinal study. Nevertheless, two alternative approaches are possible: a comparison of different sets of students across a number of years and/or a comparison of the same set of students within a year. The former, i.e., the cross sectional approach, would allow for comparison across years of outcome data, including student outcomes. The latter approach would focus on outcomes found within a single year and would therefore be primarily focused on interim or organizational outcomes, although student outcomes could also be examined for those change efforts most directly related to instruction.

**Cross-sectional design.** Cross-sectional comparisons make the assumption that the characteristics of students who enter a school are generally consistent from year to year. On the basis of this assumption, the effects of the change effort could be examined by means of student outcome tests and compared for trends.

The cross-sectional design would most likely work as well for examining organizational outcomes. For example, if the change effort involves making individual students' instructional experiences coherent and not subject to disruption, the individual instructional experiences of students can be compared across years on

the individual instructional experiences of students can be compared across years on the assumption that the nature of the program and of student needs (and therefore combinations of services) remain equivalent from year to year.

**Student as own comparison.** For certain change efforts, it may also be possible to make comparisons and look for outcomes within an individual year. As noted above, if the change effort was one closely related to instruction, then within-year changes in specific cognitive skills and tasks could be compared. Similarly, in terms of organizational outcomes, changes in the coherence of individual students' schedules from early in the year to later in the year would demonstrate change.

#### **D. Measurement Issues**

There are several additional issues to be addressed regarding approaches to the measurement of outcomes. These concern the levels at which variables are measured, when outcomes will be measured (i.e., the number of data collection points), and the appropriate measurement standards to be used for limited English proficient students.

##### **1. What are the appropriate levels of measurement?**

A major issue in the study of school change for limited English proficient students concerns the levels of measurement of important variables. A number of analysts have pointed out that if a variable is not measured at the level at which it is actually operating in a system, it is unlikely to be useful analytically. For example, studies often collect measures such as student/teacher ratios, per pupil expenditures, and socioeconomic level of the student body at the school level and then attempt to relate those measures to individual student achievement. In fact, there is often considerable variation within schools on those measures. Depending on grouping patterns across and within classes and the assignment of staff to those classrooms, the experiences of individual students within a given school can be very different.

Similarly, a number of studies have made comparisons between "programs," even though experiences of individual students within specific programs have varied greatly. The effectiveness of a bilingual program would be expected to vary, for example, when there are differences in students' proficiencies in the native language and English, in their academic backgrounds in the content areas being covered, and when there are differences in their exposure to specific settings and times when the native language is used.

Any study of school change thus will need to carefully consider the appropriate unit of measurement for each of the major measures selected. If a variable cannot be measured at the level at which it affects a student, the design of the study or the approach to measurement may need to be reexamined.

## **2. What should be the frequency and timing of data collection?**

A second major issue complicating any study of school change concerns the frequency and timing of data collection. Two significant questions need to be addressed:

- (1) How often should data on outcome measures be collected?
- (2) What should be the timing and relationship of data collection on process variables and outcome variables?

Most studies of school change rely on simple two-wave (pre-post) designs. Data on outcome measures are collected before and after an educational intervention and results are compared. Analysts have identified a number of weaknesses of two-wave designs, however, and have suggested that more frequent data collection points on outcome measures are preferable. Multiple-wave designs allow the examination of trends, including growth curves and different patterns of growth among different subgroups of a population.

There are problems with multiple measures of student outcome variables, however. If the measures involve testing, the costs in terms of time and money can be significant. Also, there may not be enough alternative versions of tests that measure the same construct to allow multiple testing. Multiple testing may also cause testing reactivity, such that the tests themselves are causing part of the change in results. Thus, for any study of school change there will need to be a careful examination of the advantages and disadvantages of using multiple measures of outcome variables across time.

The study will also need to carefully consider the appropriate timing of data collection for process and outcome variables. Many analysts have pointed out that changes in outcome measures should not be expected immediately following certain educational interventions (training events, etc.). On the other hand, if outcome measures are not collected soon after the intervention or change, it may be very difficult to attribute changes in outcomes to the intervention. A solution to this issue is to study changes in student outcomes only after observed changes in teacher/classroom activities, but such changes may be difficult to observe and they may not occur on a schedule convenient to the study. It may also be appropriate to examine the sustained effects of an innovation well after the intervention has occurred.

## **3. How should organizational outcomes be measured?**

There are two types of organizational outcomes measures that might be defined: generic measures and change-specific measures.

**Generic measures of organizational outcomes.** Generic measures of organizational outcomes are those that can be used across different change efforts, as a means of attempting to provide a common rubric for examining the progress of a change effort. An example of one generic approach for assessing organizational outcomes is of the Concerns-Based-Adoption Model (CBAM) (Hall, Wallace, and Dossett, 1973, cited in Loucks and Hall, 1981). The model is based on the kinds of concerns individuals experience in the course of implementation of an innovation and in the types of behaviors of users/nonusers of an innovation. Figure 10-2 presents the seven stages of concern and eight levels of use. Consistency and agreement on how to define and interpret specific instances of an individual's expressions of concern and type of use of an innovation would need to be obtained in order for these to be useful across sites. Also, these may be more appropriate as measures for one type of change effort, such as an innovative instructional approach than for other types, e.g., an increase in coherence in students' instructional scheduling.

Another type of generic variable that has been defined is teacher self-efficacy (e.g., Ashton and Webb, 1986; Raudenbush, Rowan, and Cheong, 1990; Guskey, 1994). As Raudenbush et al. (1990) point out, teacher self-efficacy has been found by a number of researchers to be linked to effective teaching performance and ultimately to student outcomes. Raudenbush et al. (1990) following Bandura (1986) define self-efficacy as a person's judgment of his/her own capability to accomplish a given level of performance. One focus in the research has been on examining how school organizations can be designed to enhance teacher efficacy. For example, in research on self-efficacy of secondary teachers, Raudenbush et al. (1990) reported that self-efficacy was related to effective teaching and that it was sensitive to contexts in which teachers were working. Self-efficacy was related to teacher perceptions of students' engagement, the achievement level of the class, the teacher's level of preparation for teaching a particular class, and the degree of control over instructionally relevant working conditions. This variable may be particularly appropriate for certain types of change efforts, such as innovative instructional approaches and new governance structures. It may be particularly helpful in assessing change efforts in which regular classroom teachers are assisted in working with their limited English proficient, or recently exited students. These teachers would presumably begin with a low level of self efficacy with regard to instruction of their students who were not fluent in English.

**Specific measures of organizational outcomes.** Greenwood, Mann, and McLaughlin (1975) defined implementation outcomes as "(a) the relative extent to which project goals are achieved; (b) the type and extent of change in teacher behavior; and (c) the extent to which the project as proposed compares with the project as implemented" (p. 4). This is one approach to assessment of organizational outcomes. Another approach is to examine what is present prior to initiation of a change effort, to define the nature of the changes expected, and to examine changes accomplished by comparison with what existed prior to the change. The specific types of measures to be used would be determined by the nature of the change effort, defined in terms of the goal of the change and the school context components addressed. Thus, for

Figure 10-2

**STAGES OF CONCERN:  
TYPICAL EXPRESSIONS OF CONCERN ABOUT INNOVATION**

Stages of Concern		Expressions of Concern
I M P A C T  T A S K  S E L F	6 Refocusing	I have some better ideas about something that would work even better.
	5 Collaboration	I am concerned about relating what I am doing with what other instructors are doing.
	4 Consequence	How is my use affecting kids?
	3 Management	I seem to be spending all my time in getting materials ready.
	2 Personal	How will using it affect me?
	1 Information	I would like to know more about it.
	0 Awareness	I am not concerned about it (the innovation).

**LEVELS OF USE OF THE INNOVATION:  
TYPICAL BEHAVIORS**

Level of Use		Behavioral Indices of Level
VI	Renewal	The user is seeking more effective alternatives to the established use of the innovation.
V	Integration	The user is making deliberate efforts to coordinate with others in using the innovation.
IVB	Refinement	The user is making changes to increase outcomes.
IVA	Routine	The user is making few or no changes and has an established pattern of use.
III	Mechanical Use	The user is using the innovation in a poorly coordinated manner and is making user-oriented changes.
II	Preparation	The user is preparing to use the innovation.
I	Orientation	The user is seeking out information about the innovation.
0	Nonuse	No action is being taken with respect to the innovation.

From Loucks and Hall, Investigating Program Implementation: A Field Perspective, p. 5.



example, if the school were addressing the goal of increased coherence in the instructional experience of students and taking steps to ensure a smooth flow of instruction for each student, the pre-change measure might be a variable that rates the coherence of each student's instructional day in terms of lack of disruption of instruction. At different points in the process of the change effort, these ratings of individual students' instructional experience would be obtained again to examine whether there was any of the expected change toward less disruption of instruction. The ultimate assumption in examining and tracking organizational outcomes, of course, is that achievement of the planned changes will lead to improvement in performance and achievement outcomes which the school has identified for its students.

#### **4. What are appropriate standards/outcomes for limited English proficient students?**

An extremely difficult and controversial issue is related to the question of the appropriate types of outcomes measures and standards appropriate for limited English proficient students. As noted earlier in Chapter 9, there has been considerable disagreement in the field about what measures should be used to assess schooling success for limited English proficient students, and when and if those measures should be applied for new limited English proficient entrants into U.S. schools. With regard to standardized testing in particular, the disagreement has centered around three questions:

- (1) Should native language versions of tests of content area knowledge be used?
- (2) Should limited English proficient students be exempted from testing in English until they reach specific levels of English language proficiency?
- (3) Should tests for limited English proficient students (or all students) be redesigned so that they include items more relevant to students' cultural backgrounds?

Those questions are embedded in debates about goals of educational programs for limited English proficient students. On one side of the debate are those who argue that primary goals should be rapid learning of English and acquiring a "core of knowledge" defined by the majority culture. Advocates of that position emphasize the use of traditional tests in English for all students. On the other side of the debate are those who argue that the goals for limited English proficient students should include fluent bilingualism and the acquisition of knowledge that is not culture bound but can be applied in multicultural situations. Persons on this side of the debate emphasize testing in the native language, testing of content knowledge in English only after English proficiency is strong, and testing that recognizes the cultural knowledge of limited English proficient students. Although these arguments have been made with regard to standardized achievement tests in particular, they



have also been raised in conjunction with alternative assessments, such as performance assessments.

Any study of school-wide efforts for limited English proficient students will need to confront this issue and to select outcome measures that are both broadly accepted by, and fair to, those students. Finding a balanced approach to this issue will be very difficult, and even a balanced approach is likely to be criticized by advocates on both sides of the issue.

Within schools that are implementing change and that are included in the sample for the study, there will be student outcome measures in place. These will have been determined by the school and/or the district, and influenced by district, state, and national standards, policies, and guidelines, and designed with already determined assessment procedures and local outcomes measures and goals in mind. These outcomes measures should be available within an individual site, and comparison data for previous cohorts of limited English proficient students may be available. Outcome data for fluent and monolingual English speakers may also be available. Thus, local outcomes measures may be one source of data to use. However, it may also be useful and appropriate to include in the design assessment measures that are consistent across different sites, particularly if there are similar sites with similar change efforts being employed.

#### **E. Analytic Issues**

A major issue complicating many major studies of services for limited English proficient students is the complexity of the educational environment and the lack of control over most of the key variables under study. The result has been that large volumes of data have been collected but that analysts have been unable to make clear causal inferences. It is therefore important to attempt to define expected relationships among key variables and to examine data that will bear on these relationships. To deal with this issue, it is important to recognize that the relationships among variables influencing services to limited English proficient students are extremely complex. Therefore, approaches that attempt to explain the effects of all of those services on all populations, even if they use complex statistical modeling, are unlikely to provide clear answers. What is needed are more narrowly focused analyses in which the effects of different narrowly defined service patterns (e.g., integrating ESL services as a supplement to, rather than as a replacement for, regular English classes) are examined within narrowly defined subgroups (e.g., students with very limited English skills, with strong proficiency in their native language, and/or with no previous English language instruction). Below are some of the analytic issues involved in examining the effects of change efforts.

##### **1. What should be the focus of analyses?**

Analyses can be focused on examination of change efforts within specific types of schools or with specific types of participants (students, staff, community). Care should be taken to recognize that the particular participants in a program or change

effort represent a particular case and that what is true for one group may not be true for another. For example, educational services are in most cases directed to those students who can make best use of them, and thus, services in the native language are most often offered to limited English proficient students whose proficiency in English is weakest. As a consequence, students who learn English most quickly exit such services, while those who learn English more slowly remain. Thus, there is typically a negative correlation between the amount of native language use in the classroom (particularly beyond the first or second year of instruction) and performance on tests in English. The negative correlation is mostly or completely an artifact of the way students are assigned, so it is difficult to draw strong inferences about the effectiveness of native language services. A similar problem confronts research involving compensatory education services.

Similarly, change efforts for students may have different effects depending on the characteristics of students. For example, if a change effort is directed toward cooperation and collaboration between a bilingual education teacher and a regular teacher, it may be easier to establish this cooperation when students are more proficient in English and therefore closer to the expectations of the regular classroom teacher (and therefore more within the range of that teacher's "responsibility") than when the student is at an extremely low level of proficiency. Thus, examination of specific change efforts implemented with different types of participants (students, teachers) would be one focus of the analyses to be employed.

## **2. How should the analyses examine alternative implementation strategies?**

A second analytic issue concerns the examination of specific implementation strategies. The research clearly shows that the implementation process is a critical aspect of change efforts. At the same time, the descriptions of various change efforts in the literature identify a variety of implementation strategies (e.g., in terms of scope at different stages of the process, in terms of a specific area of focus addressed, in terms of support strategies). Thus, focused analyses of specific types of strategies employed in the implementation of change efforts may lead to identification of useful principles for implementation of change. For example, if projects directed toward coherence of instruction consistently show that addressing instructional practices as a first step is better than either addressing beliefs first or addressing both of these context components simultaneously, others will be able to use this principle in designing their own implementation strategies for similar change efforts. If studies focus on selected relationships such as these, a knowledge base regarding principles for implementation strategies for sets of change activities may be gradually developed.

## **F. The Role of Researchers and Participants in the Study**

A final research design issue concerns the role of outside researchers and participants in ongoing change efforts. The literature on change has emphasized the importance of local contextual factors and local knowledge and assumptions on the part of the those involved

in the change effort. Also, the participants in a change effort have been identified as a key aspect of a definition of change. Should local participants also become involved as researchers? On the one hand, those most closely associated with the local school understand best the local context and factors that will be important to the change effort. They will also have the day-to-day experience of carrying out the change effort and can report in detail on its progress. However, those who are directly involved in the change effort also will have the most difficulty in reporting objectively. There may be a need to use some combination of approaches both to take advantage of the insights of those involved and also to obtain data collection and observation at selected points by outside researchers.

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**Research Designs for Measuring Institutional Change  
Affecting the Education of Limited English  
Proficient (LEP) Students**

Focus Group Report  
Volume 1: Findings

February 24, 1995

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**Development Associates, Inc.**

Research, Evaluation, and Survey Services Division

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Appendix A:	Focus Group Participants
Appendix B:	Schedule and Agenda for the Focus Group Meeting
Appendix C:	Written Recommendations from the Participants

## I. INTRODUCTION

A focus group on the design of a study of school change affecting limited English proficient (LEP) students was convened by the Special Issues Analysis Center (SIAC) on January 11-12, 1995 at Development Associates, Inc., Arlington, Virginia. The meeting was held to discuss options for a Benchmark Study of school change which is being sponsored by the Office of Bilingual Education and Minority Languages Affairs (OBEMLA) of the U.S. Department of Education. The study is intended to provide policy-related feedback on Title VII of the Improving America's Schools Act (IASA) (especially the Comprehensive School Grant Program) and to inform local educators concerning effective approaches to serving LEP students. The purpose of the meeting, as defined by Dr. Eugene Garcia, Director of OBEMLA, was not to design the study, but to frame the questions, domains, parameters, and issues which the researchers should consider in designing the study.

Nine experts on research on school change and the evaluation of programs for LEP students participated in the focus group. The participants included university researchers, program evaluators, and persons with responsibility for program development and policy direction. Over the course of the two-day meeting, the participants addressed questions in five topic areas: (1) research questions for a study of school change; (2) models for studying the content of school change efforts; (3) models for studying the process of school change efforts; (4) methodological approaches to studying school change; and (5) methodological issues in studying school change. Each broad area was broken down into more specific questions which were addressed in group discussions. The participants also provided written recommendations in each of the five areas.

The focus group report consists of two volumes. This volume, Volume 1, presents the findings of the focus group meeting. The report describes the oral and written comments and recommendations of participants concerning the design of the Benchmark Study. The goal of the meeting was not consensus among participants, so the report describes areas of agreement and disagreement. In addition to the findings, Volume 1 also contains a list of focus group members (Appendix A), the schedule and agenda for the meeting (Appendix B), and the individual written recommendations of the nine focus group members (Appendix C). Volume 2 contains the transcript of the two-day meeting.

## II. ABSTRACT

The focus group discussion was organized around a series of questions formulated by OBEMLA. The questions and summary answers to them are presented below.

**Given the government's stated purpose for the intended research, what framework(s) would be most appropriate for the design of a study examining reform and change within schools serving LEP students? That is, what recommendations are there regarding theoretical assumptions, regarding the definition of effective change efforts, and regarding key study questions and variables to be used in the study?**

The study as described by OBEMLA has both evaluation and research purposes. The first purpose is to evaluate the new Comprehensive School Program as funded under Title VII of the Improving America's Schools Act (IASA) to indicate future policy directions. The second purpose is a research study to examine effective approaches to comprehensive school efforts for LEP students in order to inform practitioners. The focus group members differed in the relative emphases which they would give to the evaluation and research purposes of the study.

Some focus group members proposed designing a research framework that would explore effective approaches to comprehensive school change within an evaluation of the Title VII Comprehensive School Program. A second group, although aware of the need for an evaluation, stressed the overriding value of the research purpose. These focus group members, speaking from the viewpoint of practitioners in the field, argued that a study focused squarely on comprehensive change efforts would be more likely to add to the body of research knowledge about how to bring about such change in schools. The focus group members expressed concerns about the ability of one study to address both evaluation and research purposes, especially with limited resources.

One focus group member defined a question which related the evaluation and research purposes. "What are the most effective ways to bring money into situations which will leverage the kinds of changes which we, as a collective group of educators, think are representative of best practices?" Focus group members did not believe that strong causal conclusions could be drawn between Title VII funding and outcomes, but they did believe that the study could describe the "footprint" or "value added" by Title VII funding. Focus group members indicated that the focus of the study should be both on the content and on the process of change.

Focus group members recommended that the study include both quantitative (surveys) and qualitative (case studies) strategies. They indicated that the exact mix of the two could not be determined without definition of the study questions and the amount of resources available for the study. Focus group members suggested that there should be a "core" study which should remain in place throughout the entire study process, but that there should also be flexibility to address new questions/issues as they emerge.

Most focus group members recommended that samples of both Title VII and non-Title VII schools should be included in the study. On the other hand, some focus group members disagreed on whether a comparison group of non-Title VII schools was needed in order to draw conclusions about Title VII schools. Without knowing the specific study questions to be addressed nor the amount of resources available, focus group members could not define how many schools should be studied.

**Given the government's stated purpose for the research, what specific measures and methodologies would yield valuable and reliable information about the nature and impact of reform efforts within schools, especially those serving LEP students?**

Focus group members suggested that it is difficult to define standards related to the content of change because such standards reflect the values of a particular group. Focus group members generally agreed, however, that school change could be judged based on the extent to which there was: (1) challenging or ambitious academic content for students; (2) coherence in the instruction provided; and (3) a climate of collaboration among staff.

Focus group members used different categorization systems to define the range of key content variables to be studied. The various systems used, however, generally included variables in eight categories. The categories were: (1) national, state, district and local context; (2) school structure and characteristics; (3) school climate and culture; (4) teacher characteristics; (5) management or governance structure within the school; (6) school linkages with parents and/or community; (7) student instructional experience; and (8) student characteristics. A number of relationships among key variables were emphasized by specific focus group members, but there were few common themes across focus group members.

Focus group members disagreed on the extent to which the study should focus on student outcomes. Most focus group members did not believe that the cost of developing and validating new student achievement tests was justified for this study. Focus group members raised concerns about realistically assessing student outcomes in relation to the changes brought about through the Title VII Comprehensive School Program given the nature of the change process and the relatively short time period of the proposed study. In examining outcome data for LEP students, focus group members stressed that serious efforts need to be made to separate the variance due to content area knowledge from the variance due to language proficiency.

**Given the government's stated purposes for the research, what specific measures and methodologies would yield valuable and reliable information about the key components in the process of implementation of change, including factors that promote or impede change?**

In general, focus group members indicated that they did not believe that the study should apply standards for the process of change. Focus group members suggested a number of categories of process variables which they thought should be examined by the study. These categories were: (1) initiation and development of a shared set of change goals; (2)

development of mechanisms to support change such as professional development and resource assistance, e.g., time, technical assistance, training, funds; (3) planning for change, including setting strategies; (4) monitoring/problem solving as the change is implemented; (5) adjusting/revising change goals to the situation; (6) evaluating the success of the change; and (7) institutionalizing the change.

**What approaches would you recommend for collecting data over time that focusses on teaching/learning environments; on teacher/learner relationships? What are the design requirements of such approaches?**

Focus group members suggested that case study assessments of classroom activities include classroom observation, teacher interviews before and after class, examination of curricular materials used, and review of actual student work during the class session. Focus group members generally agreed that classroom observations should occur a number of times over the school year in order to capture change in the learning environment and teacher-student relationships. Focus group members also suggested that standardized protocols should be used to help observers capture and record activities in the classroom, and so that cross-site analyses could be performed. Focus group members stressed the importance of using classroom observers who are knowledgeable about the content area being taught and who are proficient in the language of instruction.

Focus group members urged that pre-class teacher interviews include discussion of the goals and objectives of the class period and of the strategies to be employed. Post-class interviews would include discussion of goal achievement and reasons why specific classroom activities took place. Focus group members urged that student work products from the classroom should be examined in order to judge if that work is of "rigorous" quality. Participants suggested that small group interviews with students should also be used to assess their perspectives on instruction, student-teacher relationships, their general views of the school, and their views on themselves and their schoolmates. Students should also be observed in non-classroom settings such as libraries, hallways, cafeterias, etc.

For the quantitative component of the study, focus group members suggested the use of teacher questionnaires and teacher logs to study classroom activities. Participants also suggested the use of teacher questionnaires to examine such factors as teacher collaboration and school climate.

**What is the recommended role of investigators in change research regarding one's level of involvement, scope of contribution, objectivity and professional ethics?**

In order to maintain a positive working relationships, focus group members believe that investigators need to share some of their observations with school staff. One member stated that interactions between researchers and their subjects typically result in exchanges of information, such as providing information on references to check, contacts to communicate with, or informal reflections on instructional and teaching practices. On the other hand, focus group members do not believe that investigators should be active agents of school change.

### III. FINDINGS

The purpose of the focus group discussion was to provide OBEMLA with a set of ideas and options for the design of a study to measure institutional change affecting the education of LEP students. First, we present the panelists' thoughts on study purposes and study questions, and the general approach to the study. Next, we present a synthesis of the views of focus group members concerning appropriate models for studying school change. This discussion is centered around two main issues: (1) the variables and standards for assessing the content of educational change efforts; and (2) the variables and standards for assessing the process of educational change. Finally, we present a summary of the panelists' recommendations for specific methodological strategies to be used for the study.

#### A. Study Purposes and Study Questions

##### 1. Purposes of the Study

*The study as described by OBEMLA has both evaluation and research purposes.* The first purpose is to evaluate the new Comprehensive School Program as funded under Title VII of the Improving America's Schools Act (IASA) to indicate future policy directions. The second purpose is a research study to examine effective approaches to comprehensive school efforts for LEP students in order to inform practitioners.

*The focus group members differed in the relative emphases which they would give to the evaluation and research purposes of the study.* Some focus group members proposed designing a research framework that would explore effective approaches to comprehensive school change within an evaluation of the Title VII Comprehensive School Program. In this way, the study would comply with the legislative mandate for an evaluation while, at the same time, answering questions of importance to educators.

A second group, although aware of the need for an evaluation, stressed the overriding value of the research purposes. These focus group members, speaking from the viewpoint of practitioners in the field, argued that a study focused squarely on comprehensive change efforts would be more likely to add to the body of research knowledge about how to bring about such change in schools. As one focus group member said, practitioners—administrators and teachers—need to know "how one makes the most effective use of scarce resources to provide the conditions for effective practices and [to] improve instruction."

*The focus group members expressed concerns about the ability of one study to address both evaluation and research purposes, especially with limited resources.* Focus group members stated that a study designed to address either one or the other purpose would be hard enough to devise and implement. For example, a number of focus group member pointed out the difficulty



of establishing baseline data and effectiveness criteria for an evaluation of the Comprehensive School Program. Similar issues were raised regarding a research study of comprehensive school change. Combining the two purposes would add a layer of complexity that would undermine the ability of the study to achieve meaningful results. In addition, a study designed for both evaluation and research purposes would require more resources than a study designed to address either purpose alone.

Several focus group members commented that if resources were not a consideration, both purposes could be more easily incorporated into one study. Nonetheless, it was not clear if the problems of conducting such a study could be completely eliminated by increasing the resources available.

## 2. Study Questions

*Focus group members proposed a range of study questions which could be addressed under the evaluation and research purposes. For example, the following evaluation questions were suggested:*

- (1) What happens in schools that receive Title VII Comprehensive School Program grants? What configuration of services do LEP students receive?
- (2) What are the effects of the Title VII Comprehensive School Program funding on the services that students receive compared to all the other ways in which students receive services?
- (3) If money were spent in an alternative set of ways, would it be better spent? Could similar results be achieved without Title VII?
- (4) Have the changes brought about under the Title VII Comprehensive School Program grants been successful at providing students with "a meaningful instructional experience" as compared to the highest standards of the field at the present time?
- (5) Has the Title VII Comprehensive School Program changed the schools' perception of how to effectively serve limited English proficient (LEP) students? Is there less "marginalization" of programming for LEP kids?

Participants also suggested the following research questions:

- (1) What are successful models of instruction for LEP students?
- (2) What is the process by which successful models of instruction for LEP students were developed and implemented?
- (3) How can greater inclusion of LEP students in the school culture be achieved?

*One focus group member defined a question which related the evaluation and research purposes. "What are the most effective ways to bring money into situations which will leverage the kinds of changes which we, as a collective group of educators, think are representative of best practices?" By framing the question in this way, the issue of how to best use Title VII funds is linked to the larger issue of negotiating purposeful change in schools.*

A somewhat similar set of questions was posed by another focus group member. First, "Does the strategy used by the Title VII Comprehensive School Program for bringing about educational reform for LEP students work?" And, second, "What is the process by which it works best?" In these questions, research and evaluation purposes are related because the questions focus on the Title VII Comprehensive School Program as one of a number of strategies for bringing about change.

*Focus group members did not believe that strong causal conclusions could be drawn between Title VII funding and outcomes, but they did believe that the study could describe the "footprint" or "value added" by Title VII funding. One focus group member asserted, for example, that it would be impossible to show that Title VII Comprehensive School Program caused a particular change or set of changes within a school. In fact, "you will not be able to attribute the source of change in these complex systems to anything." Other focus group members agreed that the study of school change should not attempt to attribute school change to specific federal, state, or local policies or programs. They believed, however, that such policies and programs could be considered as part of the context of a particular site.*

Focus group members discussed the idea of illustrating the "value added" from a Title VII Comprehensive School Program grant by describing what has changed within funded schools. They noted that the changes that take place could provide evidence of a "footprint" of Title VII Comprehensive School Program grants. Focus group members suggested, for example, that the study look for changes that are of special importance for LEP students, such as improved coherence of instruction, increased validation of student culture, and the development of mechanisms for including LEP students in the school community. In addition, some focus group members suggested that the extra resources that are provided through Title VII Comprehensive School Program grants are at least "fingerprints" of its effect in schools. For example, if Title VII funds are used to provide teachers with paid release time for planning, that is one effect that can be shown.

*Focus group members indicated that the focus of the study should be both on the content and on the process of change. For example, if the research question were how to bring about effective schools, one approach would be to first define what we mean by an effective or exemplary school and then describe the process that the school went through to become more effective. Similarly, if the content of change were coherent instruction for LEP students, it would be useful to decide, first, the level of instructional coherence within the school and, second, the process by which coherence was achieved. Given this approach, it would be worthwhile to start with a small sample of schools. Once common processes or themes were identified, the study could be expanded to include other schools.*

*One focus group member recommended that the study focus on what happened in individual schools since the time a Title VII grant was first received. The study should attempt to understand what Title VII has added to the school by focusing on institutional changes that enable LEP students to obtain greater access to, participation in, and benefit from classroom and school activities. Four levels of variables should be studied: students, classrooms, schools, and community context.*

*More than one focus group member cautioned that a study of change in schools funded under Title VII is complicated by the fact that the resources received provide both opportunities and limitations. The necessity to comply with federal regulations, for instance, has the potential to influence school practices in unforeseen ways. The additional burden of "getting that money, spending that money, dealing with how people get access to that money" may affect all aspects of the school, including classroom instructional practices. According to one focus group member, the instructional approaches emphasized in schools that receive some form of federal funding may be less innovative because of the constraints imposed by accompanying regulations.*

### 3. Summary

- Focus group members recognized the desirability of both the evaluation and research purposes of the Benchmark Study. However, they differed in the relative emphases they would give to the two purposes. Focus group members expressed concerns about whether the evaluation and research purposes could both be adequately addressed with the limited resources that they believed were available to OBEMLA.
- Focus group members proposed a number of evaluation questions concerning the effectiveness and costs of Title VII Comprehensive School Grants. They also proposed practitioner-relevant research questions concerning best practices for serving LEP students. Focus group members felt that OBEMLA needs to prioritize the questions on which the study should focus.
- Focus group members did not believe that direct causal conclusions could be drawn about the effects of Title VII funding on LEP student outcomes. They did believe that conclusions could be drawn concerning the "footprint" or "value-added" effect of Title VII on LEP student services.

## **B. General Approach to the Study**

### **1. Qualitative Versus Quantitative Approaches**

*Focus group members emphasized that the study methodologies should depend upon the specific study questions to be addressed. The study questions should guide the methodology, and not vice versa.*

*Focus group members recommended that the study include both quantitative (surveys) and qualitative (case studies) strategies. They indicated that the exact mix of the two could not be determined without definition of the study questions and the amount of resources available for the study. One focus group member suggested that the study should take the form of multisite case studies, with similar information collected over time at all research sites. Another member stated that case study and survey data can be used to validate each other. This approach, it was stated, has not been generally effective in the past, but could be a very strong methodology since relating quantitative and qualitative data increases one's ability to generalize results. Another member said that findings from quantitative survey data are vastly improved through qualitative validation, such as observations of practice and/or intensive interviews with teachers and other school staff members. Conversely, even with a strong anthropological approach, there is much to be learned by surveying a larger population on the topics or themes which emerge from the qualitative data. However, it was pointed out that the data collection method should "serve" the question; some questions are simply not answerable through one specific methodology, while others can only be.*

### **2. Core Study Versus Special Topic Substudies**

*Focus group members suggested that there should be a "core" study which should remain in place throughout the entire study process, but that there should also be flexibility to address new questions/issues as they emerge. It was suggested that after examining certain questions in the core study, one can address additional issues or relationships in more detail as part of added sub-studies. One focus group member indicated that the use of a cooperative agreement as the funding mechanism would provide a degree of flexibility for both the Government and the researchers. The Government and researchers could work together to redirect activities outside of the core to address timely policy issues.*

A broad mix of approaches will be needed, according to one panel member, and there should be room for flexibility to modify or add approaches, as appropriate or needed.

### **3. Sampling of Title VII and Non-Title VII Schools**

*Most focus group members recommended that samples of both Title VII and non-Title VII schools should be included in the study. One focus group member noted that only a relatively small proportion of LEP students will be served by school-wide Title VII programs. The*

overwhelming majority will be served in schools which do not receive Title VII support. Thus, the study would be remiss if it did not include an examination of non-Title VII schools. Most members agreed, saying that you cannot make statements about Title VII Comprehensive School Grants without examining and making comparisons with other schools. One focus group member stated the idea this way, "You can't tell anything about Title VII Comprehensive School Program grants by only studying the schools with them. You need to compare them across all kinds of contexts." One focus group member suggested that if resources permit, the study should include other schools serving LEP students in the same communities as the Title VII schools.

*On the other hand, some focus group members disagreed on whether a comparison group of non-Title VII schools was needed in order to draw conclusions about Title VII schools. Several members stated that the study should first examine Title VII schools. Three reasons were given: (1) a study of funded schools would give OBEMLA a better sense of how well the Title VII Comprehensive grant program works — what works and what doesn't; (2) a study focused on only funded schools would require fewer resources; and (3) a study that compares funded and unfunded schools would increase the complexity of the study without providing much additional information. That is, "there will probably be more within group variance than between group variance."*

One focus group member strongly recommended that the study only focus on schools receiving Title VII funds. She argued that OBEMLA is interested in determining how well programs supported by Title VII work, and what can be learned about these programs that can inform and improve future efforts. She argued that sufficient resources are not available to examine non-Title VII efforts, and she was not sure of what could be learned outside Title VII. She stated that sufficient differences exist within Title VII to be able to explore different types of programs at schools with different contexts.

In addition, this focus group member stated that examining a few other programs outside of Title VII would not provide sufficient information about how these programs work. One would not be able to generalize from the findings, given the variability in how programs are implemented across sites. This focus group member stated that instead of including schools in the study which do not receive Title VII funds, the study should examine the other new Title VII efforts besides the Comprehensive School Grants, particularly the program enhancement grants and the system-wide grants. Another focus group member generally agreed, but he proposed that the study focus on schools receiving Title VII Comprehensive School Grants and examine variation among these schools. The goal of the study should be to show how schools receiving these grants work and how they serve LEP students.

*Focus group members noted a number of difficulties with comparisons of Title VII and non-Title VII schools, including considerable variability both within and between programs. For example, it was emphasized that "Title VII programs ... are in schools that are systematically different from schools that don't comply and compete for Title VII money." And the same program may look very different across school contexts. Different local, state and national conditions need to be considered when describing how the Title VII Comprehensive School grants work.*



Nevertheless, one focus group member commented that examining a variety of schools helps to describe the "multiple solutions to the problem of serving LEP students." Another focus group member stated that an examination of both funded and unfunded schools is the only way to answer the question, "Could comparable outcomes be produced without Title VII?"

#### 4. Size of the Study Sample

*Without knowing the specific study questions to be addressed nor the amount of resources available, focus group members could not define how many schools should be studied. A number of focus group members expressed a preference for a "deeper" study of a fewer schools rather than a "shallow" study of more schools. On the other hand, some participants stated that a relatively large number of schools need to be studied so that you can examine them in various kinds of local communities and contexts. One member stated that the study should examine a wide range of schools with high proportions of LEP students, including equal numbers of elementary and secondary schools. In this way, the study could examine the effects that other programs, such as Title I and migrant education, are contributing to the education of LEP students. Another member stated that it is important to maximize the variability of the schools in the sample. This would include Title VII and non-Title VII schools. Similarly, any future studies of schools receiving any type of federal funding should include schools receiving Title VII funds.*

*Focus group members suggested that the number of Title VII and non-Title VII schools included should depend upon the specific study questions and the amount of resources available to the study. As one focus group member said, ideally you would study a "gigantic random sample of schools." Given a modest amount of resources, however, you would probably emphasize a certain set of schools. So, for example, one focus group member believed that the study could sample schools that had been shown to be successful in educating LEP students, e.g., charter schools. Another focus group member proposed that the focus of the study could be on comprehensive school programs, regardless of the funding source.*

*Focus group members emphasized that it is important to study specific reforms at multiple schools, because reforms operate differently in different settings. The selection of schools for study should be based upon ambitious pedagogy, as evidenced by curriculum, instructional approach, or assessment technique. A sample of "mature" schools should be selected in which reforms have been in place for a number of years, and other schools in which reforms are just being introduced.*

*One member stated very strongly that once a school was included in the study, it should remain in the study for the full data collection period. If additional schools are added in the second or third year of the study to address specific relationships or policy issues, these schools should be included for the full remaining data collection period.*



## 5. Summary

- The focus group members agreed that the study methodologies should depend upon the specific study questions to be addressed. However, the group agreed that both qualitative (case studies) and quantitative (surveys) methodologies should be used.
- Participants suggested that there should be a core study which should remain in place during the entire study time frame. They also suggested, however, that the core study should be supplemented by special issue substudies designed to address specific policy or research issues that emerge.
- Most focus group members agreed that samples of both Title VII and non-Title VII schools should be included in the study. They felt that they could not propose specific sample sizes without knowing the specific study questions and resources available to address those questions.
- Focus group members felt that it is important to study specific types of reforms at multiple schools because reforms operate differently in different settings.

## C. Models for Studying the Content of School Change

### 1. Content Standards

*There was disagreement as to whether the development and use of standards for judging the content of school change efforts was appropriate. The focus group members questioned the use of the term "standards" in relation to school reform efforts, and at least one suggested that the term "criteria" would be more appropriate.*

*Focus group members suggested that it is difficult to define standards related to the content of change because such standards reflect the values of a particular group. For example, the effective schools literature describes what the classroom learning environment should look like. Yet some teachers may disagree with these notions because they are not compatible with their own beliefs about learning. Similarly, standards set at different levels may conflict, e.g., standards set by the state compared with standards set by the school. The state, for example, may decide that schools should meet standards of ambitious content; at the school level, however, that may be "an irrelevant outcome," where, for example, the concern might be to first achieve higher student attendance rates.*

*It was also suggested that individual differences among students would preclude the development of standards. As one focus group member remarked, researchers do not yet know enough about what is good instruction for different groups of students — what is a good lesson for one set of students may not be best for all kids equally in all contexts.*

Focus group members discussed how one might design a study where the standards are based on the local content of the reform — the extent to which schools achieved the goals they, themselves, had set. However, *there was a concern among at least a few focus group members regarding the use of locally-determined standards. One focus group member suggested, for example, that a school might decide to set very low standards that could easily be accomplished. How would one compare that school with a school where very high standards had been set and accomplished? Or even with one where the standards were very high, but had not yet been met?*

*Focus group members generally agreed, however, that school change could be judged based on the extent to which there was: (1) challenging or ambitious academic content for students; (2) coherence in the instruction provided; and (3) a climate of collaboration among staff. Focus group members defined challenging or ambitious academic content as a climate of high expectations for all students indicated by the intellectual quality of the content that is presented to students, the mode in which instruction is delivered to students, and the method by which students are assessed. Participants noted that there are a variety of different standards for defining the challenge of academic content, but that one way to resolve the problem of different standards would be to develop a common set of rules or rubrics relating to the types of activities and products in which students are engaged.*

Coherence of instruction refers to consistency in the way that instruction is provided—a link between what is believed about learning, what is taught in the classroom and how it is assessed. It includes consistency across different instructional settings and across grade levels in a school. Coherent instruction comes about through a shared or common notion among school staff regarding appropriate instructional practices. As two focus group members noted, there are a number of communication issues that affect the coherence of instruction, including the nature of the communication among administrative and teaching staff. Whether staff communicate at all—and how well—have implications for the coherence of instruction that students receive.

Focus group members also emphasized a related notion, i.e., the need for "collaboration and communication around a shared vision, then a common process for developing" that vision. In fact, one focus group member indicated that, regardless of the education goals of a particular school, if there is collaboration among staff, the school can be very successful.

*Although they were not as strongly emphasized, focus group members mentioned a variety of other guiding principles for assessing the content of school change.* Focus group members indicated, for example, that the content of change might very well include the extent to which school is a safe haven for students, the extent to which school promotes opportunities for shared cultural exchanges, and the extent to which school supports the whole student. These principles are based on the research on good practices for the education of LEP students. The same principles were also related to the focus group discussion of key variables within a study of comprehensive school change.

*Focus group members stressed that if standards for the content of change are applied, they should be ambitious rather than minimum standards.* It was noted, for example, that the standards for education that exist at the state and national level are typically minimal, especially the standards applied to LEP students. If the intent of comprehensive change is to hold LEP students to the same standards as the mainstream, it would be expected that the standards for all students be appropriately challenging. At least a few focus group members argued that there are reasonably challenging standards within certain disciplines such as science and mathematics. And the standards set within Goals 2000 are very ambitious.

## **2. Key Content Variables to be Studied**

*Focus group members used different categorization systems to define the range of key content variables to be studied.* One focus group member, for example, suggested the following categories for studying variables related to school change: (1) student instructional experience; (2) instructional delivery model; (3) staff culture and expectation; (4) nature of the change process; and (5) leadership.

The following system of categorization was also proposed: (1) learning strategies; (2) program; (3) school; (4) community contexts; (5) external partners; (6) district; (7) state; and (8) federal.

A third focus group member discussed a different set of categories: (1) people (students, teachers, administrators, parents); (2) activities (language instruction, program coordination, decision making, resources allocation, communication between people); and (3) contexts (classrooms, schools, communities).

A fourth member suggested ten categories: (1) student characteristics; (2) student behavior; (3) student beliefs/attitudes; (4) teacher characteristics; (5) teaching behavior; (6) teachers' attitudes/beliefs; (7) classroom structure; (8) classroom social structure; (9) school structure; and (10) school social structure.

*The various systems used, however, generally included variables in eight categories.* The categories were: (1) national, state, district and local context; (2) school structure and characteristics; (3) school climate and culture; (4) teacher characteristics; (5) management or governance structure within the school; (6) school linkages with parents and/or community; (7) student instructional experience; and (8) student characteristics.

*Within each of the eight categories, focus group members provided a list of variables which they labelled as key content variables.* The list of variables for each category follows:

- (1) *National, state, district and local context:*
  - federal programs and policies regarding education such as IASA Title VII and Title I;
  - state programs and policies regarding education; and
  - demographics of the local community (e.g., income, mobility).
- (2) *School structure and characteristics:*
  - number of students;
  - grade levels of students;
  - demographic characteristics of the student body (e.g., language, SES);
  - school resources; and
  - resource allocation (e.g., the extent to which school program resources are integrated into a coherent program, how resources are allocated for professional development for staff who work with LEP students).
- (3) *School climate and culture:*
  - staff collaboration;
  - the amount of time spent on planning;
  - staff culture and expectations (e.g., the philosophical stance of the administration, faculty, and staff regarding the way students learn and regarding how LEP students learn; extent to which all staff take responsibility for serving LEP students);
  - the relationships among teachers of LEP students and other teachers;
  - the mixture of cultures and languages represented in the school;
  - the extent to which the home culture and language are valued and integrated into the school;
  - the primary language spoken in the school;

- whether the school is a safe environment for learning;
  - the extent to which the school builds self-esteem and encourages high expectations among students;
  - staff development and training (e.g., the extent to which the school develops and ensures sensitivity to language and cultural diversity among staff);
  - support services (e.g., library, sports, assemblies, musical performances, plays).
- (4) *Teacher characteristics:*
- teaching experience;
  - cultural backgrounds;
  - whether the teacher knows about the culture and/or the personal histories of the students;
  - language backgrounds and abilities;
  - teacher beliefs and attitudes about their own teaching, including their sense of responsibility to their students, including LEP students;
  - teacher beliefs and attitudes about language acquisition, collaboration with other teachers, and school change; and
  - teaching goals and strategies.
- (5) *Management or governance structure within the school:*
- site-based management;
  - accountability systems;
  - teacher participation in decision making and the management of the school;
  - teacher involvement in assessment systems; and
  - the extent to which language minority staff are involved in the decision-making process.
- (6) *School linkages with parent and/or community:*
- parent and community involvement;
  - the extent to which there is a sense of community in terms of affiliation and "commitment toward academic work" among community members;
  - the extent to which the school promotes parent and community involvement in school within the minority language population; and
  - the extent to which family health and human services are provided through the school to the language minority population.
- (7) *Student instructional experience:*
- number of students in the classroom;
  - content of the curriculum ("ambitious pedagogy");
  - authenticity of the instructional experience;
  - the extent to which there is coherence and coordination of the curriculum and instruction over time, and between teachers and developmental levels;
  - integration of services across federal, state, and local programs;
  - teacher behavior regarding LEP students (e.g., the extent to which the teacher makes adjustments in instruction that would increase the participation of the LEP student);

- integration of student culture and language in the classroom (e.g., the languages spoken in the classroom, the extent to which cultural diversity is valued, the extent to which instruction is compatible with the culture of the learner);
- mode of instructional delivery (e.g., programmatic structure, student grouping arrangements, staffing arrangements);
- assessment measures used;
- student success in their academic tasks;
- student engagement in learning (e.g., participation in class and school activities);
- movement patterns in the classroom;
- the level of student interaction;
- entry/exit from programs;
- student perceptions of their safety;
- student perceptions of a school community;
- student understanding of what is taught;
- student academic and social growth (e.g., the extent to which the affective needs of students are met); and
- equity.

(8) *Student characteristics:*

- culture;
- education level;
- home language;
- self-esteem;
- attitudes towards teachers and school;
- attitudes towards other students;
- family context;
- socioeconomic status; and
- other at-risk factors.

*A number of relationships among key variables were emphasized by specific focus group members, but there were few common themes across focus group members. For example, the following relationships were suggested for inclusion in the study:*

- (1) The relationship between change efforts and changes in teacher practice;
- (2) The relationship between school philosophy and instructional practice;
- (3) The relationship between school efforts to develop cultural sensitivity and student outcomes;
- (4) The relationship between student culture and student instructional experience;
- (5) The relationship between school resource configuration and change efforts;
- (6) The relationship between teacher decision making and change;
- (7) The relationship between student characteristics and student outcomes; and
- (8) The relationship between teacher strategies and the perceptions of learners (e.g., the relationship between the goals of the teacher and the support provided to students, and the students' perceptions of their efficacy).



### 3. Summary

- Focus group members did not believe that standards could be applied for judging the content of school change. The use of standards for judging the content of reform efforts was seen as problematic due to disagreements among practitioners concerning what constitute appropriate goals and effective learning environments for LEP students. The use of national, state, or local standards for the purpose of the study were all seen to have drawbacks.
- Participants generally agreed, however, that the content of school change could be judged based on whether there was ambitious curricular content, coherence of instruction, and collaboration among staff.
- Focus group members proposed several systems for categorizing the variables to be included in studying the content of school change. In general, however, they identified variables in eight categories:
  - (1) national, state, and local context;
  - (2) school structure and characteristics;
  - (3) school climate and culture;
  - (4) teacher characteristics;
  - (5) management or governance structure within the school;
  - (6) school linkages with parents and/or community;
  - (7) student instructional experience; and
  - (8) student characteristics.

## D. Models for Studying the Process of School Change

### 1. Process Standards

*In general, focus group members indicated that they did not believe that the study should apply standards for the process of change. It was suggested, for example, that the process of change should be studied empirically rather than theoretically, i.e., the focus should be on what changed and how the change was brought about in a particular school. Most focus group members agreed that the study should not specify in advance a set process of change that schools follow. However, it was suggested that a "core study" examination of how "mature" schools have changed could be used to develop models for studying the change process in other schools.*

*One focus group member, however, specifically advocated the application of standards, and emphasized that these should be the same as the standards used to judge the implementation of Goals 2000. In this way, findings from the study of institutional change can serve as a comparison with later studies using the same standards.*

*In their comments focus group members did suggest some characteristics of the change process which they believed would be related to successful implementation. First, developing a common vision among school staff would provide the initial impetus for a particular change effort. Evolutionary or gradual change with constant revision and reflection was indicated as a second characteristic of successful change processes. One focus group member noted that comprehensive change is a sequence of different challenges that must be solved step by step. Successful change efforts are those that allow adaptation to changing circumstances without losing sight of important goals. Thus, how decisions are made is important. Third, as the change process evolves, it is important to maintain or continue the changes that have taken place, i.e., to institutionalize the change so that staff turnover or other changes do not undercut the change efforts. A "renewal process" including socialization and training of new school staff was suggested as an essential factor in ensuring institutionalization.*

### 2. Key Process Variables to be Studied

*Focus group members provided sets of organizing principles for studying the process of change. One focus group member noted that, although change is not linear and frequent adaptations must be made to the content and process of a change effort, there are expected or predictable stages that can be documented. The study should include an examination of the progress that schools make within these stages and note factors that affect progress at a given stage. Another member of the focus group had the idea of setting up a taxonomy of the change process in terms of the amount of participation by different individuals, the level of conflict, and so on. A third suggested that the change process should be examined at three levels: (1) organizational change processes; (2) staff change processes; and (3) student change processes.*

Focus group members also used questions to frame the study of the process of change. One focus group member, for example, asked four related questions: (1) Is there ambitious pedagogy?; (2) Are there organizational supports for that pedagogy?; (3) How did the pedagogy develop?; and (4) How did the supports for the pedagogy develop? A second focus group member stated the basic question as, "When a school decides to make a school-wide change to include LEP students in all aspects of schooling, what are the kinds of things that they have to consider once they begin the change?"

Focus group members suggested a number of categories of process variables which they thought should be examined by the study. These categories were:

- (1) initiation and development of a shared set of change goals;
- (2) development of mechanisms to support change such as professional development and resource assistance, e.g., time, technical assistance, training, funds;
- (3) planning for change, including setting strategies;
- (4) monitoring/problem solving as the change is implemented;
- (5) adjusting/revising change goals to the situation;
- (6) evaluating the success of the change; and
- (7) institutionalizing the change.

Focus group members listed considerably fewer process variables than they did content variables. The following variables and relationships were suggested:

- (1) *The process by which the school reached a shared goal or pedagogy:*
  - How did the school start to believe in the importance of educating LEP students?
  - How is the school changing to integrate LEP students so they are not marginalized and thus not treated differently from other students?
- (2) *The process by which the appropriate organizational structures were put in place to support change:*
  - How do directives from school and/or district-level leaders get communicated to a faculty?
  - What resources or organizational supports were used to facilitate the change process and how were they used?
- (3) *The manner in which individuals participate in change efforts:*
  - Who participates in change efforts, at what stage, how, and how much?
  - What is the pace of change?
  - Is the minority community represented at all stages of the change process or only some? In which stages are they represented and what do they do?
  - To what extent are external change agents involved in providing expertise and recommendations?
- (4) *The persons/factors that facilitate the change process at the various stages; and*

- (5) *The persons/factors that prevent the process of change from moving forward at various stages.*

*It was noted that patterns of implementing change may be unstable over time as unplanned change takes place within the school. Turnover of administrative and instructional staff, for example, can affect the process of change. Moreover, since change takes time, a study period of five years may be too short to develop a complete portrait of the change process.*

### 3. Summary

- Focus group members generally agreed that the study should not apply standards for judging the process of school change. They believed that the focus should be on what changed and how those changes were brought about.
- Focus group suggested three characteristics of the change process which they believed were related to success. These were:
  - (1) a common vision among school staff;
  - (2) evolutionary change with constant revision; and
  - (3) institutionalization of the changes.
- Participants suggested that the following categories be used in defining the process variables to be included in the study:
  - (1) definition of goals;
  - (2) planning for change;
  - (3) mechanisms to support change;
  - (4) monitoring and problem-solving;
  - (5) revision of goals;
  - (6) evaluation of success; and
  - (7) institutionalization of the change.

## E. Methodological Strategies for the Study

### 1. Documentation of Classroom Activities

*Most of the discussion relating to the documentation of classroom activities focused on qualitative rather than quantitative methodologies. The emphasis was on classroom observation and other in-person techniques, though there was some discussion of how teacher questionnaires and teacher logs could be used in quantitative studies.*

*Focus group members suggested that case study assessments of classroom activities include classroom observation, teacher interviews before and after class, examination of curricular materials used, and review of actual student work during the class session. One member suggested that after each observation, the teacher should be interviewed to confirm their teaching objectives for the class session, their intentions, their thought processes, and if and how they are coordinating with other teachers. One member said that his experience shows that it takes a lot of time talking to and observing teachers to be able to understand what strategies teachers use to serve LEP students. It was stated that researcher-teacher conversations are just as important as observations. Another focus group member suggested that data collection approaches include teacher and student interviews, teacher and student focus groups, telephone interviews with teachers, classroom observations, and observations of individual students from whom classwork is collected on a regular basis over time. One focus group member suggested the use of video cameras, but most participants felt that the use of video cameras would be too intrusive.*

*It was generally agreed that classroom observation is a very expensive methodological approach. Nevertheless, focus group members believed that classroom observation was extremely important. Classroom observation requires considerable resources in order to be done well. Observations and the analysis of the data which are collected would be fairly intensive with respect to the resources required. One focus group member pointed out that because qualitative data are very difficult and time-consuming to collect and analyze, researchers should plan in advance how they plan to combine the qualitative and quantitative data. Another focus group member suggested that, since classroom observation is very expensive, it could be done on relatively few occasions during the first couple of years of the study, and then more frequently during the later years.*

*Focus group members generally agreed that classroom observations should occur a number of times over the school year in order to capture change in the learning environment and teacher-student relationships. All subject areas would not necessarily be given equal weight, or even included. The study could focus on a few specific subject areas. Focus group members also suggested that standardized protocols should be used to help observers capture and record activities in the classroom, and so that cross-site analyses could be performed.*

*Focus group members stressed the importance of using classroom observers who are knowledgeable about the content area being taught and who are proficient in the language of instruction. One member pointed out that case study researchers should be bilingual and multicultural and*

assigned to sites based on their knowledge of the home culture of the students in the school. They should be trained to be skilled observers. Another focus group member stated that highly trained research teams, with relevant language capabilities, are needed and that they need to spend lot of quality time in the schools.

*Focus group members urged that pre-class teacher interviews include discussion of the goals and objectives of the class period and of the strategies to be employed. Post-class interviews would include discussion of goal achievement and reasons why specific classroom activities took place. Teachers should be asked to indicate those sections of textbooks and other curricular materials which are the focus of instruction. In addition, information on planning activities and other professional activities engaged in by teachers should be obtained.*

*Focus group members stressed that a key variable that should be assessed at the classroom level is the "academic rigor" of the material that is being presented. They suggested that the national standards which are being developed provide some guidance in making these assessments.*

*For the quantitative component of the study, focus group members suggested the use of teacher questionnaires and teacher logs to study classroom activities. They suggested that there were a number of items from the NELS teacher questionnaires which had been shown to be useful in describing instructional practice, on topics such as the mode of instructional delivery and participation in governance. Participants also indicated that investigators had successfully used teacher logs to collect data on classroom activities.*

## **2. Measurement of Student Outcomes**

*Focus group members disagreed on the extent to which the study should focus on student outcomes. Some of the focus group members warned that student outcome data are difficult and expensive to collect. It was noted, for example, that there are very few appropriate student outcome measures at either the local, state or federal level, especially for limited English proficient students. One suggestion was to compare the content of instruction within a particular school against national content standards (Goals 2000) and determine whether or not the standards had been met.*

*Most focus group members did not believe that the cost of developing and validating new student achievement tests was justified for this study. One focus group member did recommend the design of new instrumentation. He stated that this would be the ideal approach, and in that manner you would have the same measures at each site that are valid and reliable.*

*Focus group members raised concerns about realistically assessing student outcomes in relation to the changes brought about through the Title VII Comprehensive School Program given the nature of the change process and the relatively short time period of the proposed study. They raised the question of what kind of gains one could reasonably expect to see over a five-year period. Focus group members further cautioned that a focus on student outcomes brings in a whole set of complicating factors. For one thing, the various contexts within which services are received must be considered, including classroom, school and district. One focus group*



member described how the "collective expectations and practices" of individual schools have been shown to affect student outcomes across years so that over and over, different sets of students achieve at a similar level. Describing the collective expectations and practices of a particular school and keeping these factors in mind increases the complexity of the study design and, of course, the time and costs involved. One focus group member stated that to do an outcome study that considers all the contexts in "sensitive ways" would cost a minimum of a million dollars per year.

*A few focus group members emphasized that, despite the difficulties of designing and implementing a study focused on student outcomes, such assessments are important.* In fact, at least one focus group member remarked that the true relevance of any change effort is student outcomes, i.e., how it affects an individual student in terms of the configuration of services they receive and their task-related performance. At least one focus group member stressed the importance of choosing between the measurement of outcomes and the measurement of processes. The focus group member noted, for example, that given the range of contexts, "even under the most ambitious of thoughts about funding levels, you can't do both."

*Focus group members generally agreed that there are not yet clear national standards against which to judge the quality of student work.* However, it was the consensus of the group that samples of student work should be collected and scored against some generic rubric. Separate scales will need to be developed for content and for language. The issue of valid assessment of LEP students is a major issue -- what are the standards against which LEP students should be judged? Sufficient resources will be needed to develop appropriate indicators and rubrics for measuring student outcomes. It was agreed that there is a lack of appropriate measures of LEP student performance. One focus group member suggested that data on grades, portfolios, and other assessment instruments should be collected at the end of each year.

*Focus group members urged that student work products from the classroom should be examined in order to judge if that work is of "rigorous" quality.* One focus group member suggested that the study examine the quality of the content presented to students along with the performance of students with respect to that content. The member stated that examining instructional content and student performance is difficult to do for more than a limited number of lessons, and thus it would be difficult to determine what is taught and learned over time.

*In examining outcome data for LEP students, focus group members stressed that serious efforts need to be made to separate the variance due to content area knowledge from the variance due to language proficiency.* One focus group member suggested that measurement of content versus language can be disentangled through the design of items in different languages which replicates similar content. Another member said that testing of LEP students will be a problem since many schools, especially "progressive" schools which have tried to implement an ambitious curriculum have an ideological aversion towards testing in general, and especially of LEP students.

### 3. Measurement of Other Variables

Focus group members suggested a range of methodologies which could be used to address variables such as governance/decision-making, instructional planning, communication within the school, and linkages with parents and the community. *Participants suggested that small group interviews with students should be used to assess their perspectives on student-teacher relationships, their general views of the school, and their views on their instruction, themselves, and their schoolmates.* Focus group members said that students as low as Grade 3 could be included in such interviews. *Students should also be observed in non-classroom settings such as libraries, hallways, cafeterias, etc.*

Participants also suggested that in addition to observing teachers in classrooms, methodologies should include observing them in planning, departmental, and management meetings. Interviews with principals and focus group sessions with teachers and with parents would also be useful.

*For the quantitative component of the study, participants suggested the use of teacher questionnaires to examine such factors as teacher collaboration and school climate.* Items from the NELS teacher questionnaires were again cited as useful models on these topics.

One focus group member pointed out that self-reports of attitudes and beliefs are extremely unstable. Thus, *self-reports need to be anchored in behavior and actual activities.* Questions such as "Do you like school?" need to be followed up by asking about what specific things you like to do at school. Also, participants stressed the importance of using multiple measures of the same variables in order to increase the reliability of the data. In particular, they suggested that findings from qualitative analyses be validated through quantitative assessment.

### 4. Recruitment of Sites for the Study

*Focus group members stressed the importance of incentives to gain the cooperation of school organizations and school staff for the study.* The following types of incentives were suggested:

- Paying substitute teachers during site visits to record data or to take over classes for regular teachers;
- Paying regular teachers an honorarium for their time devoted to the study;
- Paying overtime for school staff to come together for meetings, conferences, etc. related to the study; and
- Providing funds to schools to pursue their own research interests.

## 5. The Role of Investigators

*One focus group member suggested four possible roles for investigators of a change process. These four roles fall on a continuum from high involvement of investigators in which the change process is research-directed, to low involvement in which the change process is practitioner-directed. The four roles are:*

- Planned variation model in which developers implement an explicit model for educating LEP students at multiple sites, and also perform the evaluation;
- Organizational development model in which an external change agent supports the development of school-initiated education models and studies the implementation process;
- Evaluation/feedback model in which researchers provide feedback to practitioners on results; and
- Non-involvement model in which researchers gather data but do not share results with practitioners.

*In order to maintain a positive working relationships, focus group members believe that investigators need to share some of their observations with school staff. One member stated that interactions between researchers and their subjects typically result in exchanges of information, such as providing information on references to check, contacts to communicate with, or informal reflections on instructional and teaching practices. These exchanges may be informational, but not directive. Another focus group member said that it is unavoidable that researchers will not be involved at least indirectly in the change process. Ideas get passed from one person to another as researchers interview or talk informally with school staff.*

*On the other hand, focus group members do not believe that investigators should be active agents of school change. One member said that this creates difficult role conflicts. Another focus group member said that investigators should not be involved in the change process while the study is underway. Another member said that the researchers should not be directly involved in planning changes or in telling schools what to do. They may offer suggestions or ideas in the course of holding debriefing sessions. People will learn from these discussions and may implement some of these suggestions. But the researchers should not be any more directly involved.*

## 6. Summary

- Focus group members emphasized the importance of classroom observation. They believed that teachers should be observed several times over the course of a school year by trained observers with relevant language capabilities using standardized protocols.
- Participants also believed that in case studies:
  - (1) teachers should be interviewed to determine their objectives and teaching strategies;
  - (2) curricular material should be examined to determine the challenge of the content;
  - (3) student work should be reviewed to determine student achievement of curricular objectives;
  - (4) students should be interviewed in small groups to obtain their perspectives on instruction, student-teacher relationships, themselves, their classmates, and their school; and
  - (5) students should be observed in non-classroom settings such as libraries, cafeterias, and hallways.
- Focus group members disagreed on the priority which should be given to the measurement of academic achievement by LEP students. There were concerns about the ability to provide evidence of change which could be directly attributed to Title VII, given the large number of factors operating in a school environment, the slow pace of school change, and the time frame of the study.
- Focus group members indicated that there are presently no clear national standards against which to judge the quality of student work. However, they believe that the study should use emerging national standards to create scales and indicators which can be used to make such judgments. These scales and indicators will need to separate the effects of content area knowledge and language proficiency.
- To gain the cooperation of school staff, the study should consider paying substitute teachers to collect data, paying teachers and other school staff for the time they devote to the study, and providing funds to the school to pursue its own research interests.
- Focus group members do not believe that the study investigators should participate directly as active agents of school change. However, the participants recognized, that in order to maintain cooperative relationships, the investigators need to share some of their observations with school staff.

## IV. RECOMMENDATIONS

This section presents recommendations from Development Associates, Inc. concerning the design of a study of school change involving LEP students. The recommendations are based primarily on the oral and written comments of focus group members, but also reflect our work in preparing the literature review which was used as a resource document for the focus group, and experience in conducting other national studies of LEP services. The recommendations are organized under the topic headings used in the report, and each recommendation is referenced to the relevant pages of discussion in the findings section.

### Study Purposes and Study Questions

- OBEMLA should define the specific questions to be addressed by the study. These questions should expand on the questions suggested by focus group members, and should reflect the relative emphases which OBEMLA wishes to give to the evaluation and research purposes of the study. (p. 5-8)
- The study should explicitly focus on both the content of school change and the process of school change. In order to be useful to the field, the study needs to define both what interventions are effective in improving services to LEP students and how those changes were implemented. The study should also describe the contexts in which specific reform efforts are effective. (p. 7)
- The study should not attempt to causally link Title VII resources to specific classroom and student outcomes. The study can attempt to show how Title VII resources were used to expand or improve services for LEP students. (p. 7)

### General Approach to the Study

- The study should include both quantitative and qualitative components. The qualitative (i.e., case study) component will add depth to the analysis, while the quantitative (i.e., survey) component will add breadth to the conclusions. (p. 9)
- Special care should be taken in linking the qualitative and quantitative components of the study. This can be done by developing survey questions based on case study results, by using similar terminology in surveys and case study protocols, and by analytically linking classroom and student outcomes observed in case studies with specific interventions identified in both case studies and surveys. (p. 9)
- The design should include both a "core" study to be defined at the beginning of the process, and "special topic" substudies to be added as new and interesting research issues are identified. OBEMLA and the researchers should agree on the amount of resources to be reserved for special topic substudies, and should have regular meetings to decide on the implementation of those substudies. (p. 9)

- The study should include both schools receiving Title VII funds and schools not receiving such funds. The relative numbers of schools in the two categories should depend on the relative emphases given to the evaluation and research purposes of the study. (p. 9-10)
- To the extent possible, case studies should be focused on schools which have either demonstrated success in serving LEP students or show promise for doing so. Random selection of case study schools is likely to produce too many examples of mediocre or poor services and outcomes. (p. 11)

### **Models for Studying the Content of Change**

- The researchers should apply a comprehensive and coherent model for defining the content of school change efforts. This model should reflect both the goals of the change effort and the areas of focus (e.g., school climate, instructional methods, etc.) of the effort. (p. 13-14)
- The model for the content of change which is applied should give prominence to the level of challenge which is offered to LEP students, the coherence of the instruction provided, the level of communication/collaboration among school staff and with the community, and the level of concern shown for the whole student. (p. 13-14)
- There should not be universal criteria and standards against which the contents of school-level change efforts should be judged. Schools should be judged based on success in achieving their own content goals. They should also be judged based on whether LEP students are mastering challenging academic content. (p. 13-14)

### **Models for Studying the Process of Change**

- The researchers should apply a coherent model for defining the process of school change efforts. This model should describe steps or stages in the change process as well as indicating key elements of the change process (e.g., context, participants, strategies, etc.). (p. 19-21)
- The model for the process of change which is applied should give prominence to the strategies for change which are used (e.g., development of a school-wide vision, changing staff attitudes, etc.), the organizational outcomes which are expected, and the student outcomes which are expected to result. (p. 19-21)
- There should not be universal criteria and standards against which the process of school change efforts should be judged. Schools should be judged based on whether the planned process can be expected to achieve the school change goals. (p. 19)



## Methodological Strategies

- The quantitative component of the study should include teacher questionnaires assessing such variables as instructional approaches used, attitudes towards LEP students, and expectations for those students. School-level questionnaires should also be used to define the specific content and process of school change efforts. To the extent possible, attitude questions should be related to specific behavioral outcomes (e.g., What percentage of the LEP students in your school do you expect to attend college?). (p. 23, 25)
- The qualitative component of the study should include classroom observations, teacher interviews before and after observations, interviews with LEP students in small groups, examination of curricular material used, and review of student work to determine success in mastering ambitious content. The qualitative component should also include observations of students within school settings other than classrooms, observations of staff planning sessions and other meetings, and focus groups with school staff and with parents and community members. (p. 22-23, 25)
- The study should not attempt to develop or use a consistent set of LEP student achievement measures across sites. Existing standardized tests are not appropriate for this purpose, and national and state standards have not been developed to the point where new tests can be developed. (p. 23-24)
- The researchers should be urged to use as resources the emerging national standards in order to develop approaches for assessing the level of challenge of instruction being offered to LEP students, and the students' mastery of the material. (p. 23-24)
- The researchers should be urged to develop and use a consistent set of language proficiency measures across sites. The measures should include teacher ratings of oral proficiency and literacy in English and, to the extent possible, the native language. (p. 24)
- The researchers should not be involved in the design or implementation of school change efforts. To maintain a positive relationship with sites, however, case study researchers should in a nonjudgmental fashion share their observations about the process of change in the school sites. (p. 26)

## Appendices

- Appendix A: Focus Group Participants
- Appendix B: Schedule and Agenda for the Focus Group Meeting
- Appendix C: Written Recommendations from the Participants

Appendix A:

Focus Group List of Participants

## Participant List

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Appendix B:

Schedule and Agenda for the Focus Group Meeting



## SPECIAL ISSUES ANALYSIS CENTER

### Focus Group on Measuring Institutional Change Affecting LEP Students

#### Agenda

Wednesday, January 11

#### A.M.

- 8:30-9:00 Coffee and Informal Greetings
- 9:00-9:10 Welcoming Comments
- Annette Zehler, Development Associates
- 9:10-9:25 Purpose of the Meeting
- Eugene Garcia, Director, OBEMLA  
Timothy D'Emilio, OBEMLA  
Millie Lanauze, OBEMLA
- 9:25-9:30 Summary of the Schedule of the Meeting
- Paul Hopstock, Development Associates
- 9:30-10:50 **Topic 1: Research Questions for a Study of School Change**
- 10:50-11:00 Break
- 11:00-12:30 **Topic 2: Models for Studying the Content of School Change Efforts**

#### P.M.

- 12:30-1:30 Lunch (Conference Room)
- 1:30-2:00 **Topic 2: (continued)**
- 2:00-3:00 **Topic 3: Models for Studying the Process of School Change Efforts**
- 3:00-3:10 Break
- 3:10-3:45 **Topic 3: (continued)**
- 3:45-4:45 Written Recommendations Relating to Topics 1-3
- 4:45-5:15 Final Comments and Reactions on the Day's Topics

Thursday, January 12

A.M.

- 8:30-9:00 Coffee and Conversation
- 9:00-9:10 Overview of Day 2 Activities
- 9:10-10:30 **Topic 4: Methodological Approaches to Studying School Change**
- 10:30-10:40 Break
- 10:40-12:00 **Topic 4: (continued)**

P.M.

- 12:00-1:15 Lunch (Reservations at Local Restaurant)
- 1:15-2:30 **Topic 5: Methodological Issues in Studying School Change**
- 2:30-2:40 Break
- 2:40-3:30 **Topic 5: (continued)**
- 3:30-4:30 Written Recommendations on Topics 4 and 5
- 4:30-5:00 Final Comments and Reactions to the Day's Topics

## SPECIAL ISSUES ANALYSIS CENTER

### Focus Group on Measuring Institutional Change Affecting LEP Students

#### Topic 1: Research Questions for a Study of School Change

- (a) To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?
- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?
- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?

## SPECIAL ISSUES ANALYSIS CENTER

### Focus Group on Measuring Institutional Change Affecting LEP Students

#### Topic 2: Models for Studying the Content of School Change Efforts

- (a) Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?
- (b) What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?
- (c) What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

## SPECIAL ISSUES ANALYSIS CENTER

### Focus Group on Measuring Institutional Change Affecting LEP Students

#### Topic 3: Models for Studying the Process of School Change Efforts

- (a) Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?
- (b) What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?
- (c) What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

## SPECIAL ISSUES ANALYSIS CENTER

### Focus Group on Measuring Institutional Change Affecting LEP Students

#### Topic 4: Methodological Approaches to Studying School Change

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?
- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?
- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?
- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?
- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?



## **SPECIAL ISSUES ANALYSIS CENTER**

### **Focus Group on Measuring Institutional Change Affecting LEP Students**

#### **Topic 5: Methodological Issues in Studying School Change**

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?
- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?
- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?

Appendix C: -

Written Recommendations from the Participants

## **Topic 1: Research Questions for a Study of School Change**

**Written Recommendations from: Betty Mace-Matluck**

- (a) To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?**

The sample for the study should include both Title VII and non-Title VII schools since the majority of LEP students will be served in schools that do not have Title VII funds. Most of the LEP students, in both Title VII and non-Title VII schools, will be in schools where Title I funds, state bilingual, and other special funds are targeted .. because of the SES level of LEP students in general. Another consideration is that the level of Title VII funding now (and probably into the future) is such that an extremely limited number of school grants can be awarded each year... and undoubtedly those schools who apply for funds and receive funds will be atypical of schools that enroll LEP students. Therefore, I believe that more can be learned about whether or not LEP students are better served with the comprehensive schoolwide reform strategy than under the previous strategy of categorical program funding at the federal level. Also, by including a broader sample, the study could look at whether or not additional resources (i.e., Title VII funds) tends to stimulate, accelerate, and/or sustain (or have some negative effect??) on educational restructuring at the school level.

- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?**

The study should document where a given school is in the process of change related to LEP students at entry into the study and follow and study the process and its outcomes (both in terms of organizational change and outcomes and student experiences and outcomes). I would be more interested in the effects on the change process as the school moves toward inclusion of LEP students into the life of the school, as a result of additional resources, than on outcomes in general ... because I think that it is assumed that LEP students will be better served in comprehensive school wide programs than in other program options... and this assumption should be evaluated ...

- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?**

The study should attempt to examine all factors that influence change, including external resources that the school itself solicits and/or initiates (e.g., Title VII).

## Topic 1: Research Questions for a Study of School Change

Written Recommendations from: Brian Rowan

- (a) To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?

I believe the study should examine Title VII comprehensive AND other types of schools. the purposes of the study are twofold:

1. Of those schools that receive Title VII comprehensive grants - what outcomes were produced
2. Could comparable outcomes be produced without the Title VII grants process.

- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?

The study needs to have before data on key variables, should collect data at several more points in time, to establish dynamics of change, and should attempt to explain these data by reference to how change was produced.

- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?

I doubt that one can attribute change to a particular source. Change probably results from a combination of factors which may be unique to each site.

## **Topic 1: Research Questions for a Study of School Change**

**Written Recommendations from:** Christian Faltis

- (a) **To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?**

I think that the bulk of the study should focus on title VII comprehensive schools receiving grants, and the study should be prepared to look for intra-group variation. There probably should be a number of non-Title VII schools serving LEPs involved, but without an expectation of meeting requirements for a quasi-experimental design. The goal of the study should be to show how TVII comprehensive schools work, and how they serve LEP students. There may be some comparison with non-TVII schools.

- (b) **To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?**

I think the study should focus primarily on the process of change to show what schools are doing as they reform to include LEP students. Part of this study of process would of course entail looking at what happened before and after the change was being planned, initiated, and institutionalized (if it gets this far.)

- (c) **To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?**

In think that in the overall plan of study, federal, state, and local initiatives have to be considered as key variables, along with other content variables, such as student learning, school organizing, program changes, teacher development, and community participation.

Accordingly, I think it is important to include in the study schools that have not received TVII funding, but are attempting reform to include LEP students nonetheless, through other sources of financial and pedagogical support.

## **Topic 1: Research Questions for a Study of School Change**

**Written Recommendations from:** Charlene Rivera

- (a) **To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?**

Insofar as possible, the study should examine a wide range of situations with high proportions of LEP students. Careful consideration should be given to including at least equal numbers of elementary and secondary programs. The study should include an examination of how various program components, including Title 1, migrant, etc., are contributing in positive ways to the education of LEP students as measured by student outcomes.

- (b) **To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?**

Both need to be included. Without an examination of process there will be little information about when and how change has occurred overtime. If resources are limited, fewer sites should be studied rather than simply include baseline and outcome data.

- (c) **To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?**

In the new conception of Goals 2000, monies from a variety of sources will be intermingled and used to provide support to LEP students. Given this reality, it would seem contradictory to try to attribute particular changes to any one program. Whatever is learned will need to be understood as part of a comprehensive effort within a whole school/district program.



## Topic 1: Research Questions for a Study of School Change

Written Recommendations from: Diane August

- (a) To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?

First, I think the major reason for focusing on school that do not receive Title VII school grants would be to compare the performance of schools receiving Title VII comprehensive school grants with the performance of schools that do not receive these grants.<sup>1</sup> One would randomly sample schools from each groups and compare their performance on a predetermined set of outcome variables.

I would argue against this approach for several reasons. First, there will probably be more within group variance than between group variance (especially given the regulations that define these programs that provide maximum flexibility). As such there will be no significant differences between groups. Second and more important, even if there are significant between group differences it would be very hard to explain to what they are attributable—given the tremendous variation across sites in how those programs will be run and in the context in which they operate.

As such, I would argue for avoiding the issues of Do these programs work better than XX other programs and focussing instead on whether students in these programs are learning challenging subject matter and skills, what is happening in the schools that help students accomplish this and what impediments, challenges exist for the school that do not. I would be careful to look at differences among subgroups of students in each school and to be able to compare across sites.

- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?

The study should examine both. The challenge will be to figure out what is happening that is new as a result of Title VII grant money and requirements. This will require looking at before characteristics. However, to get a good sense of how the projects are implemented it will be necessary to look at the change process as well as outcomes.

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<sup>1</sup> Another reason for looking at school that are not Title VII comprehensive schools would be to learn about exemplary practices that might not be taking place in the comprehensive schools. I see no point in doing this in that one would only learn about what is happening in the observed schools and really could not generalize to other schools, either Title VII comprehensive schools or other non Title VII schools.

- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?

The study should not attempt to attribute student outcomes to federal, state, and local initiatives, but might look at how these initiatives have impacted the school in terms of such things as appropriateness of curriculum, program management, staff development, and coordination. This is a complex matter because school change comes about for many reasons, some of which have nothing to do with outside initiatives.

## Topic 1: Research Questions for a Study of School Change

Written Recommendations from: Julia Smith

- (a) To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?
- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?
- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?

Abandoning all the above questions, I suggest that the question of this topic is, "What is the research question(s) for the RFP?" I would recommend as response to this topic the following interrelated questions:

- 1) How does Title VII work?
- 2) Under what circumstances are LEP students best served?

Part 1 addresses the character of services provided in schools, using student performance measures, organizational management measures, and institutional change measures as benchmarks against which one assesses the functioning of those services. In other words, this part addresses WHAT the service is, HOW it is implemented in the school, HOW the school delivers the service, and ultimately HOW WELL the school can be said to be serving the needs of LEP students based on a comparative standard.

Part 2 addresses the experiences of students receiving what is likely to be a myriad of services, and focuses on the individual impact of amount and kind of services on relevant outcomes -- i.e., achievement, engagement, view of self, understanding of citizenship, etc.

This part addresses the student as an active agent -- receiving, processing, and producing within a wide variety of contexts which all may be present in a given school.

## **Topic 1: Research Questions for a Study of School Change**

**Written Recommendations from:** Judith Torres

- (a) **To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?**

In the best of all possible worlds, the study should maximize the variability of schools in the sample. This would imply including schools other than just those receiving Title VII funding. Similarly, any planned studies of schools receiving other federal funding should include schools being funded by Title VII.

- (b) **To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?**

This should probably vary, depending on the particular study subquestion to be addressed. An examination of the change process itself should preferably be conducted at relatively frequent intervals during the academic year. Changing patterns of interaction, changes in understandings which emerge from collaboration and communication, need to be documented at several points. Collection of other information (outcome variables, for example) could be done at less frequent intervals. On the other hand, analysis of the outcome information may be very time consuming, particularly if the researchers decide to analyze samples of student work.

- (c) **To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?**

It is highly unlikely that a study can attribute change to specific programs. I think what it can do is examine the changes which occur where different resource configurations may be found, and funding source information will be key in this regard. Some combinations of funding sources may prove synergistic, while others may not. One major question is what happens to the use of Title VII funding in the presence or absence of other resources. Do services for LEP students remain salient, or are they submerged in general efforts? Or, in contrast, where other resources are lacking, are Title VII resources sufficient to support school change?

Because funding sources provide a resource base for much innovation at the school level, documentation of available resources will be important.

## Topic 1: Research Questions for a Study of School Change

Written Recommendations from: **Paul Berman**

The study should address the following questions:

1. What impact has Title VII had on how schools and districts deliver education to (and provide other services for) LEP students and how have these changes affected student learning and other goals?
2. What school-wide "approaches" to educating LEP students are effective, under what "conditions"? The term "approaches" could be called principles or strategies or other terms. It encompasses the systemic (and school-level) interrelationships among teaching/learning strategies (which includes curriculum and instruction; the programming for language acquisition (which includes English-language acquisition in written and oral forms); the structure and culture of schooling (for all students with LEP students as part of the all); the linkages between school and community, school and district, and educators and their peers outside the school. The term "conditions" is taken to mean the demographic, political, economic, cultural and capacity situations of the school. There is no single approach or configuration of approaches that is effective in all settings. Therefore, the research should aim to identify what is effective for different conditions that encompass a reasonable range of critical variation.
3. How did the effective school-wide approaches happen, and are there any general patterns in the process of developing effective approaches?
4. How can schools (with LEP students) become more effective? The answers to this question are the policy and practice implications of the findings from points 2 and 3 above.
5. How can federal policy in general and IASA in particular be improved? The answers to this question are based on answers to all the above questions.

- (a) **To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?**

The study should first study schools receiving Title VII grants. If resources permit, the study would be much more valuable -- that is, it could better address each of the above five questions -- if it include a sample of other schools serving LEP students. The notion of a benchmark would be more meaningful. However, these schools should not be studied if resources are not available. The proposers should offer a design to deal with this tradeoff.

- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?

The study should examine the process of change across a range of levels which focus on institutional change as manifested in student learning, curriculum and instruction, school organization and structure, and community linkages. This does not preclude doing a before-after design as an element of the research.

- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?

The study should examine the perceived and actual effects of intentional policies at all levels. However, the causation can never be clear so that the "findings" need to be qualified.



## Topic 1: Research Questions for a Study of School Change

Written Recommendations from: Walter Secada

- (a) To what extent should the study focus on all schools serving LEP students as opposed to schools receiving Title VII comprehensive school grants?

*This question, really is a methodological issue.* The question as to what sorts of schools to sample should be driven by your research questions and/or the political constraints of the study. For instance, if you are limited to studying Title VII grantees because of congressional mandate, then the question has been answered.

I would note, moreover, that there is some merit in thinking about variation. Take the case of the IARP efforts (Cheche Konnen, Funds of Knowledge, etc...). One could learn a lot about pedagogy and the organizational features of school which supported said pedagogy. On the other hand, if you limit yourself to just comprehensive school grants, you would have missed the ability to study these efforts since they were not school-level efforts.

- (b) To what extent should the study focus on a before-and-after examination of school change as opposed to an examination of the process of change itself?

Again, this is a methodological issue. The answer to this question should be driven by the research question. If you are asking a classical, effects sort of question, then you'd want these sort of data, plus some documentation of what's happening in the classrooms and schools. If it's a different sort of evaluation, then you might not care about these sort of data and, instead, collect samples of student work for scoring and analyzing using some sort of rubric.

- (c) To what extent should the study attempt to attribute school change to specific federal, state, or local initiatives or programs?

Given the Department of Education's experiences with the Ramirez study, where there was a careful effort to document "treatments" and to find comparable schools, but where, due to technical issues, the attribution of cause could not be made (partly, I believe, because ED did not like the answer it would have gotten), I believe that this sort of research question is both a political and a methodological dead end. Don't try.

My recommended research questions are:

1. If a school makes pedagogy (i.e., curriculum, instruction, and assessment) for LEP students a central concern, then how does the school translate its concerns into action?

What are the relationships between a school mission which takes the education of LEP student seriously and Pedagogy (as defined above) (a) in the classroom and (b) across the school?

2. What is the quality, against some sort of standards for pedagogy (i.e., standards for the quality of curriculum, instruction, and assessment tasks), of school as it is experienced by that school's LEP students?

Does this quality diverge, in some important ways, from what is experienced by other, non-LEP students?

How is it similar to what other student experience?

What adjustments are made, in pedagogy, for a school's LEP students?

3. How do the organizational features of the school (e.g., its shared values and structures) support and/or impede efforts to provide students with high quality pedagogy? Organizational features include the nature of teachers' professional lives, the school's governance systems, the existence of a community for teachers and students which includes attention to the intellectual substance of what students experience, and the existence of accountability systems that provide the school with information about whether it is achieving its goals.
4. How do external agents and agencies--the community, parents, district, state, federal, professional organizations, educational reform networks, social service agencies, etc.--influence the school's efforts to provide high quality pedagogy to its LEP students?
5. What are the complex inter-relationships among the above features, including pedagogy, and authentic forms of student learning and/or achievement?
6. How do the above sorts of things change over time? How are those changes related to changes in the relationships explored in #5?
7. What sorts of predictive (as opposed to purely descriptive, covariation-based) models can be generated from these data? How can these models be validated?

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: **Betty Mace-Matluck**

- (a) **Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?**

The content of the educational reform that a school engages in should be documented in relation to the school's perceived needs and resources. It may be that a school will decide to go for depth rather than breadth .. and thus work on only one aspect of its planned reform at a time ... the context of the reform as well as available resources should be the primary elements for investigation.

The SIAC document does a good job identifying major categories of variables relating to the content of educational reform (pages 32-37).

- (b) **What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?**

In addition to the variables listed in categories 1-5 on pages 35-36 of SIAC document, I would recommend that the following variables be included in the OBEMLA Benchmark study:

1. Structure and characteristics the school—resources available— how these are allocated in terms of relevant professional development for all the teachers and administrators for upgrading skills and knowledge relative to working with LEP students.
2. Climate and culture—the extent to which and how the school demonstrates that it values the home culture(s) and integrates it into the life of the school and the extent to which and how the school builds students' self esteem and encourages students to hold high expectations for themselves.
3. Management/Governance—the extent to which and low language minority staff are involved in the decision-making process of the school.
4. Linkages with parents/community—the extent to which and how the school involves language minority parents and community members/organizations in significant ways in the life of the school—and to what extent and how the school ensures that LEP students and family members receive needed health and human services (integrated services).

5. Student instructional experience—the extent to which and how the school meets the affective needs of LEP students, as well as academic needs (i.e., high standards and academic programs provided for mainstream students).

- (c) **What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

To what extent and how does the school ensure/develop sensitivity to and concern for language and cultural diversity among the school staff. How does this sensitivity manifest itself?

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: Brian Rowan

- (a) Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?
- (b) What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?

The study should focus on the instruction received by LEP students. Data collection should focus on:

- 1. How instruction is compatible with culture of learner
- 2. Instructional strategy used by teachers of student
  - ambitious content
  - participatory/constructionist teachers
- 3. Coherence at instructional content/strategy across program settings
- 4. Student success in instructional assignments/tasks/activities
- (c) What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

These instructional variables are probably affected by

- 1. Program design
- 2. Instructional organization/management
- 3. School norms/climate
- 4. District management context
- 5. Community setting
- 6. State/federal trends

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: **Christian Faltis**

- (a) **Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?**

I don't feel that there should be standards against which schools should be judged. However, in the analysis, the researchers could analyze the data and compare it with certain criteria that are assumed to be applied to mainstream students and schools. A more informative study might include criteria such as school/classroom climate; support services, such as library, sports, assemblies, musical performances, plays, etc.; coherence and consistency of coursework within the school, from elementary to secondary; coverage of core content material; collaboration among administration, teaching, and support staff; and student outcome measures.

- (b) **What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?**

I have already mentioned some of the categories in answer (a) above. I would also include, however, philosophical stance of administration, faculty and staff about the way students learn, about the best ways of teach students from diverse language and ethnic backgrounds; community contexts, including external partners, state and federal policies; approaches to first and second language/literacy acquisition. Need to examine the schools beliefs about ethnicity and language variation.

- (c) **What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

I am not sure how to answer this question, but I feel strongly that the philosophical stance of the administrators, principal, teachers and staff need to be connected to what happens in the classroom, on the school grounds, and in the community. I also think that program variables having to do with L1/L2 acquisition have to be tied to classroom strategies.



## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: **Charlene Rivera**

- (a) **Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?**

I believe we agreed to talk about criteria rather than standards and so have responded to the question to address criteria.

Sample criteria for examining the reform against which schools should be judged should include consideration of: 1) what the status quo is within the school context; i.e., what courses are being offered to all students? Are the same courses being offered to LEP students? Are they of the same quality? How are they adapted to address students with different educational and linguistic backgrounds (e.g., literate vs. illiterate etc.); what are expectations for "all" students, including LEP students? 2) state and local standards as articulated by the school community; and 3) national standards as appropriate.

- (b) **What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?**

Major variables that can be studied are described in the literature review; the models provide options for describing key variables and can be drawn from in designing the framework for the study. Priorities should include consideration of: a) structure and characteristics of the school, b) student instructional experiences; c) climate/culture beliefs d) linkages with community/parents, d) management/governance. The questions that need to be addressed include: How do these change over time? What stimulates change? Who participates in making the decisions that create change? How do others who did not participate in the initial phase of the change process become convinced to try different strategies/approaches? What are the outcomes for students, i.e., what are the indicators that demonstrate student growth in academics, English language skills, etc. over specific time frames (to be predetermined by the researchers)?

- (c) **What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: Diane August

- (a) Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?

Since this is an evaluation and not a descriptive study, there should be standards which I define as desirable activities or outcomes against which the existing conditions are assessed. However, for any given arena (content of reform), the standards may differ depending on the assumptions and values of those that establish them. This will make establishing benchmarks a formidable task.

- (b) What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?

I think we should place priority on examining activities defined to a large extent by the legislation. The purpose of the programs are to "reform, restructure, and upgrade all relevant programs and operations within an individual school that serve all (or virtually all) children and youth of limited-English proficiency in schools with significant concentrations of such children and youth. (Acceptable activities are further defined in the Act.) Schools will be evaluated for: (1) how students are achieving the State student performance standards, if any, including data comparing children and youth of limited English proficiency with non-limited English proficient children and youth with regard to school retention, academic achievement, and gains in English (and where applicable, native language proficiency); (2) program implementation indicators that provide information for informing and improving program management and effectiveness, including data on appropriateness of curriculum in relationship to grade and course requirements, appropriateness of program management, appropriateness of the program's staff professional development, and appropriateness of the language of instruction; (3) program context indicators, and such other information as the Secretary shall require.

Examples of benchmarks in these arenas include: whether there is a coherent program in which federal, state, and local funds are coordinated to enable LEP students to meet high standards; whether LEP students have access to curriculum aligned with rigorous professional and community standards; whether LEP students have coursework that will enable them to graduate from high school with skills needed for gainful employment or college; whether there is school level accountability connected to performance standards; whether there are mechanisms in place for ensuring continuous improvement, etc.

- (c) What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

I can't presume to deal with relationships between categories of content variables until we have defined which content variables we will be examining. One model that is worth considering is systemic reform since it has been used to frame much of the recent Federal legislation.

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: Julia Smith

- (a) Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?

"Should there be" begs the question of "Can there be." The easy answer here is of course no - there cannot be a single set of standards against which all educational experiences are comparable. However, if you leave the word standard - implying equal across context - and try the word characteristic - implying defining features which can be recognized and measured, then the question becomes, "Does the content of educational reform have identifiable characteristics?" yes, it does. It has people, activities, and contexts.

People: Students, Teachers, Administrators, Parents

Activities: Language instruction, program coordination, decision making, resource allocation, communication between people

Contexts: Classrooms, Schools, Communities

- (b) What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?

Each of the above (people, activities, contexts) is a major category of variable which should be studied. Points of variation include:

Students -- Background (language, culture, SES, gender, family context)

Measured behaviors (performance on assessments, entry & exit from programs, misbehavior, pro-social or pro-academic behavior)

Measured beliefs/attitudes (toward school, toward self, toward others)

Teachers -- Background (history in teaching, culture, gender)

Measured behaviors (mode of delivery for teaching, content delivered to which students, involvement in planning & assessment)

Measured beliefs/attitudes (toward language acquisition, toward students, toward school process)

Classrooms -- Observed structure (# students, time spent on activity)

Social structure (beliefs and values communicated by teacher, between students)

School -- Observed structure (# students, time spent planning, coordination mechanisms)

Social structure (relationships between teachers, beliefs held about students, beliefs held about learning)

- (c) **What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: Judith Torres

- (a) Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?

If we think of standards more as criteria for evaluating the content of instruction, then the study should use current work on academic standards to provide an overall frame for evaluating the content of instruction. The research base on general school change and that on effective instruction for LEP students may be used to frame the major questions to be encompassed by the study, but the study must consider the possibility that unanticipated changes may occur, or that the processes of school change differ from those described in the research.

The discussion of Day 2 of the focus group suggests that this study might be used to help generate new ways of describing and thinking about the reform/restructuring process, perhaps more as a circular or self-reflective process rather than a linear one.

A key criterion for indicating the success of the change process should be evidence for high academic expectations and the provision of ambitious academic content for LEP students in a number of content areas. Criteria for indicating the success of organizational change could be drawn from increased levels of communication, evidence of joint planning, and observations of changes in teacher practice over time.

- (b) What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?

Beyond seeking evidence of a shared vision/high expectations and ambitious academic content (in its varied subcategories), the study should seek evidence for changed relationships and patterns of communication among teachers, teachers and parents, and teachers and school administrators. I would want to investigate how Federal and other resources have been used to leverage or facilitate these changes. I would want to know what resources have been used to support changes in curriculum and instruction over time, and to what results in classrooms. The literature review indicates a number of additional areas for exploration.



- (c) What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

Clearly, the study should examine the relationships between configurations of resources and specific change efforts (if any may be observed). Context variables will be needed to frame the research, because we expect that the focus and content of change will vary in response to these (for example, district, state, Federal policy; cultural and linguistic backgrounds of student groups in the school; SES of these groups and associated attitudes toward school in general and instruction in particular). Also important would be the educational strengths and experiences of the students to be served -- first-language literacy and years of education completed outside the US, for example.

Teacher participation in curriculum planning and school governance may also be critical in supporting change. The study could look for relationships between communication among teachers regarding effective practices, teachers' changing expectations for student learning, teachers' changing involvement in curriculum design, and student engagement in learning. The resulting changes in teachers' beliefs and knowledge may result in changes in teacher behaviors in classrooms.

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: **Paul Berman**

- (a) **Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?**

The word "standards" is inappropriate as used here. I think criteria is more appropriate. Yes, either criteria should be suggested by the proposer or, better yet, the proposer should specify how criteria would be developed by the study team. In addition to criteria concerning the content of education reform, criteria should be specified about student performance; such criteria may include benchmarking to national, state or local academic or skill standards.

- (b) **What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?**

Major categories are changes in: student performance and/or learning for LEP students, LEP students, and other students; instruction and curriculum; the language acquisition strategies; the coherence and coordination of curriculum and instruction over time and between teachers and developmental levels; the school organization, culture and structure and linkages to parent/community and others outside the school. The proposer should specify a beginning list of variables within categories (which constitute hypothesis based on the literature.

- (c) **What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

The answer depends on resources for research. The key is to relate comprehensive institutional change to changes in teacher practices as expressed in curriculum and instruction and both of these to changes (hopefully growth) in student performance.

## Topic 2: Models for Studying the Content of School Change Efforts

Written Recommendations from: **Walter Secada**

- (a) **Should there be standards relating to the content of educational reform against which schools should be judged? If so, what are the key elements of those standards?**

Yes. The school's pedagogical program should be judged based on standards for:

1. Ambitious forms of pedagogy (i.e., curriculum, instruction, and assessment);
2. The match between what is provided to LEP students and what is provided to non-LEP students;
3. Coherence across curriculum, instruction, and assessment; curriculum coherence across grades;
4. Connections in pedagogy within the various disciplinary content areas; connections across school subjects; and finally, connections between what students experience in school and the world they actually live in outside of the school (also known as value beyond the class).

Student achievement should also be judged against standards for authentic student learning.

- (b) **What are the major categories of variables that should be studied relating to the content of educational reform? What are the key variables within each of those categories?**

I would have seven outcome variables:

1. Authentic student achievement;
2. Ambitious pedagogy;
3. Equity;
4. Existence of a community for both teachers and students which includes a focus on student learning;
5. Forms of school-level empowerment for teachers and students (school governance, the ability to exert leadership and influence, etc.);

6. Relationships between the school and external, community-based resources and agencies for providing comprehensive services to students;
7. The existence of accountability systems through which the school would receive information about the efficacy of its efforts.

I have tried to clump the above in terms of the relative importance. The reason I consider each of them as outcomes is that, were a school to change on the any 1 of these (but not the others, which seems unlikely, I know), I would be willing to say that the school is a better place for LEP students than if it had not changed on that 1 item.

I am not sure that I can specify the independent variables as easily as the dependent, since my question would be: what in the school supported the creation of any combination of the dependent variables. I would then call those things which supported (and/or interfered with) the school's outcomes and WHICH COULD BE MANIPULATED through some sorts of policy initiatives, independent variables. Those things which supported, but could not be manipulated, I would label, covariates.

An important thing, which cuts across all categories of variables involves two things:

1. Is there some sort of congruence between the cultures which the students bring with them from home and what they experience in the school and in the classroom?
2. How do schools and classroom facilitate students' being able to cross cultural borders?

- (c) **What relationships among categories of content variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

See above. Also, I think that three things would cut across variables:

1. Concern for the intellectual quality of what students experience OVER concern for what to do as an end in itself. For instance, cooperative groups are just a means to an end (student learning of ambitious content); they are not the end in and of themselves.
2. Sustained effort OVER short term, one-shot efforts which are constantly changing.
3. Creation and maintenance of communal forms of organization for students and teachers which include (a) concern for 1, above and (b) elasticity to accommodate reasonable forms of diversity OVER rigid, bureaucratic forms of organization.

Also, I would look at how these things vary as functions of social class and other larger contexts.

### Topic 3: Models for Studying the Process of School Change Efforts

Written Recommendations from: **Betty Mace-Matluck**

- (a) **Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?**

There are theoretical models of the change process (based on studying examples of change) that can inform the study—There are predictable stages and concerns that can be expected as school staff move through the change process—the study should document these at the beginning of the study for each school in the sample and document and examine the progress and factors influencing the progress over time. I agree that change is not linear and that context variables also change and thus the "content of the education reform" may be "revised" appropriately before "institutionalization" because of change requiring a shift in content of educational reform before a given change effort has become institutionalized.

- (b) **What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?**

Recognition of need to change—data to support the kind of needs around which change can be planned and implemented; the development of a shared vision for the school, developed by broad representation from the stakeholders, evolutionary planning, resulting in action plans with benchmarks; support mechanism (professional development and resources assistance); monitoring and problem solving along the way; formal and self-evaluation of accomplishments and process; recycling of the process to appropriate steps as needs and or context changes.

- (c) **What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

Representation of minority community in all phases—particularly in vision building and planning stages. Involvement of external change agents to bring new and relevant knowledge and expertise to the process—and to provide constructive criticism.

### Topic 3: Models for Studying the Process of School Change Efforts

Written Recommendations from: Brian Rowan

- (a) Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?

I agree with the general thrust of the afternoon session: We need to discover how change is produced NOT specify it in advance. The only proviso I would add is that we should examine the changes required/involved at three levels

1. organizational change processes
2. teacher/other staff change process
3. student/change processes

- (b) What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?

I could make up a list here, but given the state of theory in this field, I'm not sure it would be helpful. Here it is (in no particular order):

political dynamics, timing, stressors, decisionmaking, visioning (culture-building), leadership, control processes, planning, information processing, monitor, adjust, evaluation.

- (c) What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?



### Topic 3: Models for Studying the Process of School Change Efforts

Written Recommendations from: Christian Faltis

- (a) Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?

I would say no. I would like to see that any standards or criteria relating to the process of change stem from a thorough analysis of and grounded in the data. The basic question here, for me, is "When a school decides to make a schoolwide change to include LEP students in the all aspects of schooling, what are the kinds of things that they have to consider once they begin the change?" How does the philosophical stance evolve and how is it acquired by the faculty and staff who didn't share it initially? What are the kinds of things (discourse, knowledge, strategies, etc.) that participants in the reform process learn?

- (b) What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?

I guess I would say that in addition to the content variables listed above, I would also include philosophical stance; ways of handling resistance; quality of instruction; and knowledge base.

- (c) What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

Again, I would pay attention to how the philosophical stance changes shape over time, and see how it related to other changes occur over time.

### **Topic 3: Models for Studying the Process of School Change Efforts**

**Written Recommendations from:** Charlene Rivera

- (a) **Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?**

The standards should be the same that are being used to judge the implementation of GOALS 2000. This suggests a need to make sure that all benchmark studies funded through the Department of Education are compatible and that they are working to measure the same standards. If different standards are set for different studies, this benchmark study may become a useless exercise that will contribute little knowledge to the main question: How are LEP students being treated/faring in the reform effort? Are the reforms implemented as part of GOALS 2000 and funded through Title VII contributing to a significant change in how LEP students are treated in schools? Are the changes contributing to a belief that all faculty are responsible for LEP students', well-being, achievement, etc?

- (b) **What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?**

Variables to be studied should include consideration of how the system is changing to integrate LEP students so they are not marginalized and, thus, treated differently than other students. Critical variables to be studied should include context, instruction, school structural variables (e.g. how does a faculty develop a mission/shared vision that motivates mainstream and LEP teachers to collaborate? How do directives from school and/or district level leaders get communicated to a faculty? What structures facilitate/impede communication of information? Are there patterns of communication that exclude certain groups or types of teachers? What are the implications of a communication style within a school for implementing changes that are effective for all students, including LEP students? How do the educators within the school keep themselves and the school renewed? What are the support mechanisms that enable substantive and positive change to take place? What inhibits these?)

- (c) **What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?**

### Topic 3: Models for Studying the Process of School Change Efforts

Written Recommendations from: Diane August

- (a) Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?

I still really have trouble understanding the distinction between the process of school change and the content of school change, unless you are referring to the content of school change as goals and objectives and the process as how these goals and objectives are accomplished or stymied. If you mean it as the latter, what we are talking about are methodologies to use to examine whether something has been implemented, how well, and why. For example, I would define institutional learning as the content of school change (that is, as something that has taken place or not) and the process as what happened to make it take place or not. Because I'm not sure what is meant by the process of school change, I can't elaborate further.

- (b) What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?

- (c) What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

### Topic 3: Models for Studying the Process of School Change Efforts

Written Recommendations from: Judith Torres

- (a) Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?

The discussion on Day 2 suggested that the literature on school change may not necessarily be most useful in framing parameters within which to describe the change process in schools. I have come to the end of the discussion process thinking that this study might be most useful if it seeks to expand or generate stronger, more sensitive representations of school reform as a self-reflexive process, or as a series of problem-solving adventures. It also seems likely that school reform actually is a sequence of different kinds of problem-solving efforts, because the challenges to reform efforts are different at various points in the restructuring process. This approach also recognizes that problem-solving is not necessarily successful at all points, and thus might lead the researchers to think of ways that the process might be "unstuck" or refocussed.

Although this is not directly relevant here, it will be vital not to lose sight of the actual areas in which change was attempted (or not attempted) in the selected schools. An analytic framework must be sufficiently flexible to accommodate to the variety of school experiences.

- (b) What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?

Process variables: resources, participants, activities, communication, time. Again, I would want to see an examination of what resources were used to facilitate the change process, and how they were used. These might include time, funds for training, materials, travel, coursework, classroom coverage, and computer hardware and software. The study should examine who was involved in the change process, how extensive their involvement was, and how it was undertaken. What participants actually did, and with whom, will be important as well. What technical assistance was available is also important. (See the literature review on pages 66 and 67.)

Students are part of this process. Identifying how their experiences changed as a result of other systemic changes is essential. The role played by school leadership will also need to be described carefully, as will changes in the active involvement of parents and other community members in the school's educational processes.

- (c) What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

It would be important to determine whether or not school initiatives and funding sources are worked into a coherent whole; that goals and processes are complementary and mutually supportive. It may also be important to examine the content of change as carried out through discussion, deliberation, and planning at the school level.

### Topic 3: Models for Studying the Process of School Change Efforts

Written Recommendations from: Walter Secada

- (a) Should there be standards relating to the process of school change against which schools should be judged? If so, what are the key elements of those standards?

I would ask three questions:

1. Is there ambitious and coherent pedagogy? What supports that pedagogy in the school?
2. How did that pedagogy come about?
3. How did those supports come about?

In other words, I would focus on student experiences (pedagogy and achievement) and go backwards as to how the things which support it came about.

- (b) What are the major categories of variables that should be studied relating to the process of school change, including factors which promote or impede change? What are the key variables within each of those categories?

Again.

- (c) What relationships among categories of change variables or among individual variables should receive particular attention in the study? What are the theoretical models which suggest the importance of such relationships?

#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from: Betty Mace-Matluck

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?

Four levels of study (student, classroom, school, context variables), lesser focus on student outcomes if resources are a factor. Probably will need a mix of approaches—but let the research questions drive the methodology.

- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?

Case study, with qualitative data, as well as some quantitative data collected across sites—that may allow the development of insight into the case studies

- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?

- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?

- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?

Researchers should provided feedback to sites regarding instruments and data—and should engage in dialogue with the site practitioners regarding their view about what the data may mean (i.e. assist in interpreting the results). However, I strongly feel the researchers should not serve as "the external agent". I doubt that they would have the expertise and skills needed to do this—and furthermore, this will affect the outcome of the study at different sites—given the ability and resources of different research team members.



#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from: Brian Rowan

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?

I'd recommend a mix, probably, in the context of a multi-site

- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?

Case study with standard questions/issues studied at each site. Data should be collected at multiple levels a) students b) teacher c) school-organization d) district/community

- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?

For student data, look at instructional tasks worked on, success, instructional strategies used, cultural congruence of instruction. Also, engagement in school-particularly, total school environment.

- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?

My main recommendation is a multisite case study where similar information is collected over time at all research sites. The mix of methods/measures to be determined by research questions in RFP.

- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?

4 possible roles

HI <----- levels of research involvement -----> LO

Research directed <----- change process -----> practitioner-directed

- Planned variation model. Developers have explicit model of education for LEP students, they implement at multiple sites, and evaluate it using standard methods.

- Organizational development external change agent supports development of school-initiated models and studies process
- Evaluation/feedback model researchers feedback result, provide info to sites, hold survey feedback sessions, etc.
- Non-involvement researchers gather data but do not share.

#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from: Christian Faltis

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?

If by methodological approaches, you mean qualitative and quantitative, I would say that you should use whatever you need within each approach to answer the research questions you have posed.

- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?

I think that in order to study the process of change that researchers will have to employ qualitative approaches, including observation, interviews, and perhaps videotaping. These will need to be done in multiple contexts with many different consultants and participants at various points in time. The study should also collect data on student discourse, student tasks, views on the classroom, the teacher, school etc. There can also be lots of other kinds of quantifiable data collected. It depends on the research questions. The amount of resources devoted to each type depends on the foci of the study. To get at institutional change at a deep level requires intensive qualitative study. However, much can be learned from surveys and assessment data. Moreover, it is important to have assessment data in order to learn something about how well LEP students are doing compared to other students, and how well school is doing compared to some national criteria. However, I don't feel that this should be the primary focus of the study.

- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?

depends on your research questions, but if most likely, lots of classroom and other significant school action environments using fieldnotes, or a system of observation that looks at amount and types of participation and interaction, followed by interviews with teacher, librarian etc. to get at what is going, why, what is the purpose, how are students learning, etc. Could use video-tapes of lessons, and then do stimulated recall sessions.

To get a teacher-student relationships, you again need to do lots of observation and interviews of both the students and teacher. With teacher, you want to learn how the teacher interacts with students, how many times students are called up, what kinds of questions are asked with different students, movement patterns in the classroom, what the teacher knows about each student, about the student's family, community, and ethnic background and history (without access to notes). Get at

students' perspective of the teacher, the classroom and the school, and to other students. Are there teacher's pets, who are the stars of the class, do students feel they are participating equally in the class and school activities?

- (d) **What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?**

this is a tough one to answer. For certain kinds of information, it is necessary to spend lots of time initially to figure out what is going on in the school, and for other types of information, it is important to take a reading at least once a year. It also depends on the cost of the data collection. For example, since classroom observation is very expensive, you might want to do on a relatively few occasions in the first couple of years of the study when money is less available, and then become more intense in the 3rd and 4th year. I would think, however, that minimally, researchers should take end of the year data on grades, portfolios and other assessment products, and should also be interviewing and observing in sites throughout the year.

- (e) **What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?**

I think that it is unavoidable that researchers will not be involved at least indirectly in the change process. They are talking with many people, some of whom are very much involved in the reform, and these people will learn from these discussions. I think that when researchers have discussions and/or debriefing sessions with teachers/librarians etc., that embedded in the discourse are suggestions and ideas that eventually may find their way into the reform process. I don't think that researchers should be directly involved in planning changes or in telling school people what to do. They may offer suggestions or ideas.

#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from: **Charlene Rivera**

- (a) **Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?**

A mix of approaches will probably be needed to carry out the study and these will need to be defined in the proposal; however, within the first two years of the study, as the contractor learns more about the cases under study and has further refined the research questions to be addressed, there should be **flexibility** to modify and/or add approaches, as appropriate and needed. However, these modification in the this phase of the study should not be so sharp as to make the data collected non compatible with data to be collected in the future.

- (b) **What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?**

In general, the approach to the study should be driven by the research questions; these should be developed with the goal of understanding the instructional context, including the role of school leadership; how the school is changing with the implementation of GOALS 2000 and the funding of Title VII comprehensive school grants, how the changes stimulated by these reforms are making a difference in the instructional climate, mainstream and LEP teacher expectations, supports for teachers to understand how to provide comprehensible instruction to LEP students that leads to high levels of academic growth comparable to that of other students in the school.

- (c) **What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?**

Approaches should include: teacher and student interviews, teacher and student focus groups, teacher logs, phone interviews with teachers, classroom observations, observations of select individual students for whom student work is collected over time. Instruments should be standardized across sites; case study personnel should be bilingual/multilingual and assigned to a site based on their knowledge of the home cultures of the students in a school; they should be trained to be skilled observers.

- (d) **What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?**

- (e) **What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?**

The investigators will need to gain the confidence of individuals who will be sampled over time within a school community. This will require providing assurances that regular instructional processes will not be impeded by the presence of researchers and that resources will be provided, as necessary and appropriate, to enable participating educators to complete questionnaires, participate in focus groups etc.

Moreover, if in-depth insights are to be provided by school personnel over an extended period of time, participating educators will need to receive feedback and be regularly encouraged by the researchers to document and reflect on the change process. (How they are involved in creating, implementing, and sustaining change; how LEP students are being treated as a result of the change?) In addition to motivating positive participation in the study, feedback to teachers and other educators involved in the study will help researchers clarify and validate findings; it will also provide opportunities for the educators involved at a school site to extend and amplify their reflections on the change process and its effects on LEP students.

Since resources may be limited, it will probably be necessary to limit the number of sites where intensive involvement of educators and students is required.

#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from: Diane August

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?

The study should approach a broad mix of approaches.

- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?

The approaches will depend on what variables are being assessed. For example, to examine whether there is articulation and coordination between the bilingual program and the "regular" school program will require the use of questionnaires and observations. The amount of resources devoted to each approach will depend on how important you think the particular variable under consideration is.

- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?

Use of observation instruments and interviews. I recommend looking at Andy Porter's work on enacted curriculum and possibly what New York is doing with their new inspectorate system.

- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?

Design requirements will depend on overall research design and independent variables.

- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?

Investigators should not be involved in the change process while the study is taking place. Investigators will have to find ways to establish rapport with school staff in order to obtain accurate information.



#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from: Julia Smith

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?

Whichever focus chosen needs to be informed by information from others. For example, if taking a strong quantitative analysis survey measures are vastly improved through qualitative validation (interview of a random set, observation of practice). Conversely, even within strong anthropological approach, there is much to be learned by surveying a larger population on topics and themes which emerge. But the method should serve the question -some questions are simply not answerable by interview, others can only be.

- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?

See last line of a

- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?

Not sure how this can be dealt with outside the proposals solicited

- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?

A specific - One method, which is appropriate for answering one type of question, has some very specific needs -> If one is trying to assess student growth over time in different contexts, one needs at least 3 (5 is better) measures from the students. RASCH technique can be effectively used to establish a reliable set of responses on a few items (20-30). It allows one to look at growth over time on equated measures without having to write 5 different versions of similar items or impose a ceiling effect.

i.e. 20 each, each set linked to form a single index of performance.

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basic <-----100 items-----> advanced

The cross-level model needs information from (minimum) 20 students in each context you want to address. Ideally the design has (min) 10 in each cell where interaction is a concern.

i.e. consider students number 1-50 in program A, B, C

X = in the program, O = not in program

	A	B	C	# prog.
1	X	O	O	1
2	X	X	O	2
3	O	X	O	1
4	O	O	X	1
5	O	X	X	2
6	X	X	X	3
7	X	O	X	2
8	O	O	X	1
9	O	O	X	1
10	X	X	X	3
.				
.				
.				
45	X			
46	O			
47	X			
48	X			
49	O			
50	O			
#ST	27	32	15	

You use this to set up a matrix of related contexts.

- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?

#### **Topic 4: Methodological Approaches to Studying School Change**

**Written Recommendations from:** Judith Torres

- (a) **Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?**

The methodologies need to be tailored to the research questions, as well as the "level" of the study -- student, teacher, school, "process," or context. Each implies a range of methodologies and different data collection points. Optimally, resources should be focussed as close to the educational experiences of the child as possible, describing the content of instruction as experienced by the child. This would include classroom observations and reviews of student work. It might also include group interviews with students.

The focus on instruction also implies working with teachers, observing teacher behaviors, reviewing plans, and discussing behaviors with teachers to the extent that resources permit.

To derive information on change processes, teacher interviews, focus groups, or surveys would also be appropriate. Observations of planning meetings might also be helpful. Interviews with principals will also be important, as would focus groups with parents.

- (b) **What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?**

Please see (a) for some of this. Deciding what the mix should be depends on the available resources and the study questions.

- (c) **What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?**

Some of this has been described above. It is best derived at the "micro" level through observations and descriptions of behaviors in classrooms. It can also be confirmed with interviews with children and parents.

- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?

This would require considerable resources to be done well, because the observations would have to be fairly intensive. Analysis of qualitative information is also expensive.

- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?

I cannot see how researchers can be involved with their subjects without something being exchanged between them. This will result in the researchers contributing in some ways -- references, contacts, reflections on practice. It should not be directive, but it may be reflective and constructive. It may be formative and ongoing, but this should emerge in the process. It may be desirable to include some provisions for feedback in the proposal. I do not see their involvement in implementing changes as desirable, having been coopted into that role in the past. It creates difficult role conflicts.

#### Topic 4: Methodological Approaches to Studying School Change

Written Recommendations from:      Walter Secada

- (a) Should the study employ a broad mix of methodological approaches, or should it focus on the strong application of one or two approaches?
- (b) What specific approaches should be employed? If a mix of approaches is suggested, how much of the study's resources should be devoted to each approach?
- (c) What specific approaches are recommended for collecting data over time on teaching/learning environments and teacher/learner relationships?
- (d) What are the design requirements of the methodologies which are recommended (i.e., how many measurements of what type with whom and over what time period are required)?
- (e) What is the recommended role of investigators in the change research in terms of objectivity and involvement in the change process? Should they make recommendations and/or be involved in implementing changes?
  - (1) Research questions should drive methodology and approaches.
  - (2) Recognize that sample drives/limits the sort of methodologies which are possible and/or desirable. For instance, many "progressive" schools (which are trying to engage in ambitious forms of pedagogy) have an ideological aversion to testing.
  - (3) Possibility of gathering samples of student work and scoring them against generic rubrics should be considered.
  - (4) Design should allow for pursuit of site-based issues which should illuminate important processes.
  - (5) Select based on evidence of ambitious pedagogy for LEP students (i.e. some combination of curriculum, instruction, and assessment)
  - (6) Recognize that not all subject areas can be equally weighted. Focus on a few.
  - (7) Broader environments -- than just what happens in the classroom -- are important. Look at library, cafeteria, etc.

- (8) Some information -- e.g. students' sense of self, or teachers' professional culture, or existence of actual teacher planning -- need to be gathered through a coordination of interviews (small group) and surveys.
- (9) Possible sampling
- A) - select "mature" programs. I.e. where a school has been doing X for 4 or 5 years already
    - use this small sample to create list of characteristics that support pedagogy.
  - B) - follow mature schools over rest of study
    - select new schools (year 2 + 3) to add to sample and follow them based on characteristics
- (10) The real strength of multi-methodological studies lies in the play between the quantitative and the qualitative data.
- a) use the quantitative results to test and validate hypothesis generated from the qualitative.
  - b) use the qualitative case to illuminate the qualitative results and processes,
  - c) use the qualitative results to show the limits of the quantitative results.
- (11) Support schools by
- a) paying for substitute teachers during site visits; paying teachers for their time;
  - b) paying for each site to conduct an action-research study on its own;
  - c) bringing research sites together so that they can share -- common problems, issues and success stories.

## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Betty Mace-Matluck

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?

New federal strategy—samples of potential sites are not available until awards are granted. Pool of Title VII schools in the early years of the study are likely to be atypical of schools in general that serve LEP students. Sample from non-Title VII schools as well. Select some for indepth study, others for less intensive study; add a wider range of schools in Year II.

- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?

Special populations focus (LEP students)—appropriate and valid measures that look at student academic growth are likely to be labor and resource intensive (e.g. performance assessment vs "off-the-shelf" standardized measures). Therefore may need to focus study resources to a greater extent on changes in student instructional experiences as opposed to change in student achievement.

- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?

Absence of standards for assessing change—this will affect design and possible expected outcomes of the study. Caution: Give thought up front to design of database for future possible use by potential audiences.



## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Brian Rowan

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?  
  
the key issue is funding. More = wider data collection/analysis
- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?
- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?

I do not feel able to address these issues in the abstract. Not knowing money levels, research questions, research audiences, I cannot think sensibly about design issues.

## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Christian Faltis

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?

I think the key issues that complicate this design are that 1) it is a mixture of a policy study and a research study; 2) that there are no good standards against which some of the student outcome data may be compared; 3) it is not clear whether or not the study can produce benchmarks; and 4) the sample is ill-defined.

- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?

A reliance on surveys, test scores, checklist systematic observation, and relying exclusively on second-hand information about students teachers, and others. Another potential issue is that the funding source would include too high a number of schools so that it would be difficult to make any sense of the contextual variables present at the individual school sites.

The best way to address these issues is to insure that researchers employ highly trained (language appropriate) research teams that know how to conduct qualitative research and spend lots of quality time in the schools.

- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?

Qualitative data is always difficult to analyse and very time consuming. It is important that the researchers state clearly as possible the method of analysis to be used. Also it will be difficult to fit qualitative data into quantitative data. It can be done in lots of ways, but is normally very difficult to do well. Researchers should state how they plan to interweave and make sense of the two types of data analyses.

It will probably be difficult to make inferences about the specific impact of Title VII on school change, but this is inherent in this kind of study. However, the researchers should be able to say lots about what is happening in the school since the time that the school receives the grant and make good guesses about the value Title VII has added.

I think that if researchers go into the school and focus on institutional changes in the conditions that enable LEP student greater access to, participation in, and benefit

from classroom and school activities, they will be able to come away with some good ideas about what kinds of things happened, and perhaps need to happen so that LEP students are included equally in all aspects of schooling.

## **Topic 5: Methodological Issues in Studying School Change**

**Written Recommendations from:**

**Charlene Rivera**

- (a) **What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?**

Key issues which complicate the design of the study include: a) design of data collection instruments, b) identification of appropriate student measures; c) criteria for sampling schools; d) criteria for selecting some schools to be studied in intensive ways and others to be studied less intensively.

To best address:

a) use already developed instruments, such as NELS questionnaires, if available; b) consider use of assessment processes already in place to assess students within a school; if measures appropriate for LEP students are not in use, alternative performance measures may need to be identified. Limit the number of content areas to be assessed and performances/scores to be reported; c) include as many schools with Title VII comprehensive school programs in the study as the resources allow. If additional resources are available, include one other school within the same community/case study area that have a comprehensive program with a significant number of LEP students, but that are not funded with Title VII monies; these might be schools that have state/local support and that may be nominated for inclusion in the study.

- (b) **What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?**
- (c) **What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?**

## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Diane August

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?

The key problem is that Congress and the Department will want to know how the program is working. That is, if these funds have made a difference in LEP student performance. However, given the resources available, do we really want to focus on outcomes rather than what we can learn about promising approaches to improving practice for LEP students. (There won't be enough money to look at enough schools - random sample of treated schools compared with control schools -- in enough depth to answer both questions). In addition, it is doubtful that there will be significant differences between "treated" and control schools given the within group variance that will exist. And if there is, given the resources, all you could probably say is that additional money helps.

A more interesting approach is to study a subset of schools receiving funds and examine whether in schools that received these grants, students made progress toward meeting higher academic standards. One might also want to look at differences in achievement between LEP and nonLEP students within each school, broken out by SES status if possible. Absent a control group, one could not attribute the improvements to these funds, however. That there was student improvement might be sufficient for Congress. In addition, it would be important to document what went on these schools so a picture could be "painted" that would help other schools (and institutions that provide TA) learn more about what they could do to improve services for LEP students (this would help "scale up").

- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?

One issue is the lack of good measures of L.E.P. student performance in subject areas that can be used across sites. One suggested method is to look at how students do, given content presented them and also evaluate the quality of the content they receive. This is difficult to do for more than a limited number of lessons, however, and misses what they learn over time.

Another issue has to do with deciding what to look at, establishing benchmarks for success, and figuring out how to measure this.

- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?

subsumed in (a) and (b).

## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Julia Smith

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?

It is vital to have variety across the dimension you wish to address. If you are concerned with schools, you need to have a number of different schools - doing things in different ways. If all your schools have a point in common (i.e. all get Title VII money), then you cannot form any conclusions about that point of commonality.

- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?

Threats - language vs content of items in measures need to be disentangled. This can be dealt with through item design which replicates similar content in different languages.

Threat - Level of measure needs to reflect change rather than constrain it. This can be dealt with through linked testing on items which cover a full range of skills,

Threat - Self-report of attitudes and beliefs is horribly unstable to the point of being meaningless. This can be helped by anchoring such reports in behavior and activities, i.e. - do you like school -> things you like to do in school (specific).

- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?



## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Judith Torres

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?

One major issue is that of possible conflicts between the mandates or missions of the study -- an evaluation of title VII and the desire to contribute to a body of knowledge about school change. Sampling plans and study designs may not accommodate both equally well. What should the trade-offs be? (A compromise might be to see how use of Title VII funds were in fact use to leverage change in various contexts.) This will have to be worked out explicitly when the study questions are developed.

- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?

There are many issues here. One will be decisions on defining and operationalizing the outcome measures; the issues of valid LEP assessment are included here. Our discussion of evaluations of student work in terms of standards will help address this issue. Sufficient resources will be key in supporting the development of appropriate indicators and evaluation rubrics for judging student work as well as describing effective instruction.

Another challenge will be developing descriptors for the change process, trading off between the need to structure the data collection measures while allowing for different configurations and understandings to arise during the research process.

- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?

A major issue is the complexity of contexts and needs. If the purpose of the study emerges as understandings of the change process in different contexts, then the researchers may find that what emerges is a stream of different case studies and patterns for change. Drawing causal inferences is not particularly problematic because it is unlikely that anyone will propose to draw them. What the study can hopefully do is determine the conditions and processes whereby students have more challenging and culturally appropriate instructional experiences because their teachers and schools have gone through a process of organizational and personal development.

## Topic 5: Methodological Issues in Studying School Change

Written Recommendations from: Walter Secada

- (a) What are the key issues which complicate the design of the study (e.g., sampling, number of measurements)? How can the study best address those issues?
- (b) What are the key issues which threaten the validity of measurement in the study (e.g., the level of measurement, appropriateness of measures for LEP students)? How can the study best address those issues?
- (c) What are the key issues which will complicate the analyses of the study data (e.g., the presence/absence of standards for assessing change, difficulty in drawing causal inferences)? How can the study best address those issues?
  - 1. Methodologically, the best you can do is to show covariation and document processes. This study cannot show "causes" so don't try.
  - 2. Tracking out what \$ pay for -- materials, personnel, release time, tec. -- shows the fingerprints for how Title 7 supports comprehensive school services.
  - 3. Powerful metaphors are helpful for communicating things to various publics - e.g. ambitious content; heroic isolate (talking about individual teachers) ; collective action
  - 4. Issues of methodology are so linked to the contexts and questions that it is often impossible to list threats. What is a threat in one context is NOT a threat in another.
  - 5. While this is a study of changes, link that change to ambitious pedagogy.
  - 6. If you're going to score student work, you'll need to develop scales for content and scales for language.

**Special Issues Analysis Center**

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